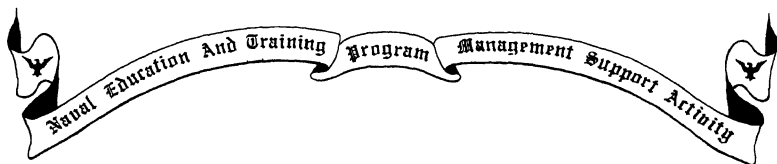




Although the words “he,” “him,” and “his” are used sparingly in this manual to enhance communication, they are not intended to be gender driven nor to affront or discriminate against anyone reading this text.

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# **MILITARY REQUIREMENTS FOR CHIEF PETTY OFFICER**

**NAVEDTRA 12047**



*1991 Edition Prepared by  
DSC Randy L. Harris*





# PREFACE

*Military Requirements for Chief Petty Officer*, NAVEDTRA 12047, and the nonresident training course (NRTC), NAVEDTRA 82047, form a self-study training package covering the knowledges required of the men and women of the U.S. Navy and Naval Reserve. Designed for individual study rather than formal classroom instruction, the training manual (TRAMAN) provides subject matter that relates directly to the naval standards for E-7. The naval standards, used as minimum guidelines in the preparation of this manual, are found in the *Manual of Navy Enlisted Manpower and Personnel Classification and Occupational Standards* (Section I), NAVPERS 18068E.

An NRTC has been designed for use with this TRAMAN. This course consists of individual assignments. It must be ordered separately from the TRAMAN. Ordering information is available in the *List of Training Manuals and Correspondence Courses*, NAVEDTRA 12061. Each assignment is a series of questions based upon the textbook. You should study the textbook pages given at the beginning of each assignment before trying to answer the questions in your NRTC.

This TRAMAN and associated NRTC were prepared by the Naval Education and Training Program Management Support Activity, Pensacola, Florida, for the Chief of Naval Education and Training.

Your suggestions and comments concerning this TRAMAN and its NRTC are invited

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# **THE UNITED STATES NAVY**

## **GUARDIAN OF OUR COUNTRY**

The United States Navy is responsible for maintaining control of the sea and is a ready force on watch at home and overseas, capable of strong action to preserve the peace or of instant offensive action to win in war.

It is upon the maintenance of this control that our country's glorious future depends; the United States Navy exists to make it so.

## **WE SERVE WITH HONOR**

Tradition, valor, and victory are the Navy's heritage from the past. To these may be added dedication, discipline, and vigilance as the watchwords of the present and the future.

At home or on distant stations we serve with pride, confident in the respect of our country, our shipmates, and our families.

Our responsibilities sober us, our adversities strengthen us.

Service to God and Country is our special privilege. We serve with honor.

## **THE FUTURE OF THE NAVY**

The Navy will always employ new weapons, new techniques, and greater power to protect and defend the United States on the sea, under the sea, and in the air.

Now and in the future, control of the sea gives the United States her greatest advantage for the maintenance of peace and for victory in war.

Mobility, surprise, dispersal, and offensive power are the keynotes of the new Navy. The roots of the Navy lie in a strong belief in the future, in continued dedication to our tasks, and in reflection on our heritage from the past.

Never have our opportunities and our responsibilities been greater.

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# **INTRODUCTION TO MILITARY REQUIREMENTS AND THE NAVAL STANDARDS**

The United States Navy has always placed great emphasis on the pride and professionalism of its personnel. In keeping with this strong tradition, the Navy has taken a different approach in teaching military subjects by developing individual military requirements training manuals. These manuals are divided into the basic military requirements (BMR) for apprenticeships and advanced requirements for third class, second class, first class, chief petty officers, and senior and master chief petty officers. These manuals cover the MINIMUM naval standards required for advancement in rate.

The purpose of the separate manuals for each rate is to define more clearly the duties and responsibilities of the petty officer at each rate. That simply means if you are studying for advancement to chief petty officer, you will study material that applies to the chief petty officer. This is not to say that a chief petty officer performs only at the chief petty officer level. Many times the needs of the service require a chief petty officer to fill the billet of a more senior petty officer or a commissioned officer. That has always been the case and will continue to be true.

Because the manuals have been separated according to rate, you can now study the required material at the appropriate time in your career.

## **NAVAL STANDARDS**

Naval standards (NAVSTDs) are those qualifications which specify the minimum knowledges

required of all enlisted personnel in the Navy. Your knowledge of NAVSTDs will be tested on the military/leadership examination. Unlike the Navy occupational standards, which state the tasks enlisted personnel are required to perform, naval standards, for the most part, state the knowledges required.

NAVSTDs encompass military requirements, essential virtues of professionalism and pride of service in support of the oath of enlistment, and maintenance of good order and discipline. They also include knowledges pertaining to the well-being of Navy personnel that directly contribute to the mission of the Navy.

NAVSTDs apply to all personnel at the specified paygrade except where specific limitations are indicated. Primarily two factors make these qualifications necessary—the basic requirements of duty at sea and the requirements of duty in an armed force. For example, all Navy personnel must know certain elements of seamanship and must be prepared to assume battle station duties. Both men and women must learn the general orders for a sentry, be able to stand a security watch, and possess certain skills and knowledges needed for their own protection and survival. Certain other qualifications, mainly in clerical and administrative duties, have been added to the military and seagoing requirements because knowledge of them is important for all enlisted personnel regardless of occupational specialty.

This training manual covers the naval standards (military requirements) for chief petty officer.

# **CHAPTER 1**

## **NAVAL TRADITION**

### **LEARNING OBJECTIVES**

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Learning objectives are stated at the beginning of each chapter. These learning objectives serve as a preview of the information you are expected to learn in the chapter. By successfully completing the nonresident training course (NRTC), you indicate you have met the objectives and have learned the information. The learning objectives for chapter 1 are listed below.

---

Upon completion of this chapter, you should be able to do the following:

1. Identify the challenges to United States sea power.
  2. Describe the mission of the U.S. Navy in peacetime and wartime.
  3. Describe the importance of naval presence, sea control, and power projection in carrying out the Navy's mission
  4. Recognize the various theaters of operations for U.S. naval forces.
  5. Recognize the purpose and importance of arms control in maintaining a balance of power between the United States and the Union of Soviet Socialist Republics (U.S.S.R.).
  6. Compare the naval forces of the United States and the U.S.S.R.
  7. Describe the cause and effect of chemical warfare in the Middle East.
- 

Today the two major military superpowers in the world are the United States of America and the Union of Soviet Socialist Republics (U S S.R.) Both countries have large navies. They use their navies to meet the national interest and political goals of their countries. This chapter will provide an overview of the U.S. and Soviet navies and the Third World countries having an impact on world stability.

### **CHALLENGES TO U.S. SEA POWER**

The naval affairs of the United States began with the war for independence, the American Revolution. On 13 October 1775 Congress passed legislation to purchase and arm two ships. This

legislation created, in effect, the Continental navy. Congress authorized two battalions of Marines on 10 November 1775. From these humble beginnings we have become a force of over 500,000 personnel and 500 ships capable of global power projection on a moment's notice.

### **NAVAL PRESENCE**

Almost every U.S. sailor has experienced some type of major deployment. In the past several years, most deployments have been to areas of the world in which hostilities were in progress. Naval presence, by simple definition, is having a naval force in a specific location. We have been called on countless times in the past years to "show the flag." Deployments place naval forces

in positions to achieve three purposes. First, forces can engage the enemy promptly at the start of hostilities. Second, they can provide protection and support to friendly, allied, and U.S. forces in time of war. Third, they can stop the advance of the enemy as soon as possible. However, the positioning of these naval forces for warfare in sensitive areas of the world also provides a side benefit known as presence. Because of the international character of the high seas, deployed U.S. forces have a unique ability to make U.S. military presence known in a time of crisis. The United States can modify that presence to exert the degree and type of influence best suited to resolve the situation.

A show of force by U.S. naval warships can restore stability to a friendly nation that is unable to control a hostile situation. The U.S. fleet can remain out of sight, over the horizon, ready to respond in a matter of minutes to any crisis. Naval presence can be visible or invisible, large or small, forceful or peaceful, depending on what best suits U.S. interests.

Naval forces can remain in a crisis area for indefinite periods to communicate their capability for action. Ground and air forces can duplicate that capability only by landing or entering the sovereign air space of another nation.

We cannot consider the effectiveness of our naval presence separately from our warfare capability. To encourage friends, deter enemies, or influence neutrals, forces deployed to crisis areas must possess a fighting capability.

Our naval presence must also reflect the degree of U.S. interests in the area relative to the number of naval forces in the area. To be effective in the presence role, U.S. naval forces must reflect a ready combat capability to carry out their mission against ANY implied threat.

## **THE NAVY'S WARTIME MISSION**

Should the United States fail in its peacetime efforts, the Navy must shift from a peacetime to a wartime posture. In its wartime posture, the Navy has two areas of responsibility. It must be able to function in a hostile environment, and it must be able to exercise sea control and power projection. Sea control and power projection are

essential to our use of the seas to support our national policies. The concepts of sea control and power projection are closely interrelated. A naval force must have some degree of sea control in the sea areas from which it is to project power, depending on the type of force to be used. However, a naval force must have the capability to project power before it can realize any degree of sea control.

### **Sea Control**

Sea control is the basic function of the U.S. Navy. It involves control of designated air, surface, and subsurface areas. Sea control is of crucial importance to the U.S. strategy of using both oceans as barriers for defense and as avenues to extend our influence overseas. It does not imply simultaneous control over all 70 percent of the earth covered by international waters; it is a selective function, exercised only when and where necessary. Because of new technology developed in the United States and in other countries, total control of the seas for our use and the denial of the seas for the enemy's use are impossible. With continuing technological developments, such as the strategic defense initiative, total sea control is expected to become even more difficult

Sea control assures the buildup and resupply of allied forces and the free flow of needed supplies. Sea control also enhances security for the nation's sea-based strategic deterrent

We must have sea control to conduct sustained U.S. Army and U.S. Air Force operations abroad. Modern land warfare requires large quantities of supplies; most of them must be supplied by sea.

We maintain sea control by destroying or neutralizing hostile forces in maritime areas the United States must use. Hostile forces include aircraft, surface ships, and submarines that threaten U.S. or friendly forces operating in those areas.

The Navy achieves or supports sea control through the following operations:

1. Locating and destroying hostile naval combat units

2. Using geographic choke points to prevent enemy access to open oceans or specific areas
3. Clearing sea areas by using escorts to surround ships in transit, such as military or commercial convoys and amphibious or support forces
4. Using mines in areas such as harbor entrances and choke points

Carrier forces and Marine amphibious forces can project military power to ensure control of the high seas and the continued safe use of land areas essential to sea control. That entails destruction of enemy naval forces at their home bases or en route to those ocean areas the United States desires to protect. Power projection also includes destroying the supply lines of the enemy and preventing enemy forces from advancing within range to use their weapons against U.S. forces.

### **Power Projection**

Power projection is the ability to project military power from the sea worldwide in a timely and precise manner to accomplish a given objective. Naval power projection, as an independent mission, is a means of supporting land or air campaigns. An essential element of power projection is the Navy's amphibious ships that carry U.S. ground forces to enemy shores.

Power projection covers a broad spectrum of offensive naval operations. These operations include nuclear response by fleet ballistic missile submarines and use of carrier-based aircraft and amphibious assault forces. They also include naval bombardment of enemy targets ashore in support of air or land campaigns

Naval forces have unrestricted global mobility based on the traditional and time-honored concept of the free use of international seas. In many cases, naval forces can perform assigned missions while remaining beyond the range of the local enemy threat. The mobility of naval forces seriously complicates the enemy's detection and targeting capability. Mobility also permits the concentration of naval forces and the element of surprise.

Another major advantage of a naval force is that it can begin combat operations immediately upon reaching a crisis location. Land or air forces often require the construction of staging areas before they can begin combat operations. That is especially true when the conflict takes place in a remote location and when facilities needed for combat are unavailable. The United States is diminishing its military base structure overseas. Therefore, the ability of naval forces to arrive in an area fully prepared to conduct sustained combat operations has taken on added importance.

### **THEATERS OF OPERATIONS**

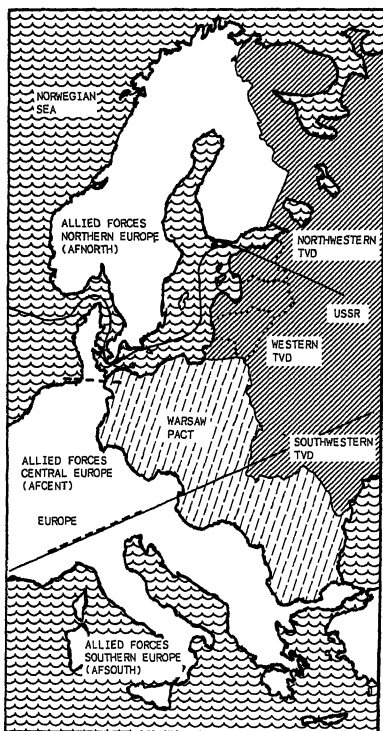
The Soviet Union confines its power projection (fig. 1-1) to areas close to the Soviet Union with one exception. Soviet fleet ballistic missile submarines (nuclear propulsion) (SSBNs) patrol the sea area off the east coast of the United States.

The traditional U.S. Navy theaters of operations include Europe, the Middle East, Africa, the Far East, and the Americas. The continuing economic and political changes in those areas now and in the future will have an impact on the Navy's mission and goals.

#### **Europe**

With the fall of the Berlin Wall and the reunification of Germany, Europe has changed. Many of the old boundary lines that separated east and west have been removed, which has made travel between countries easier. Since the outcome of the changes in Europe is difficult to predict, let's look at some trends that have taken place over the last few years.

As the Warsaw Pact navies have been growing smaller, North Atlantic Treaty Organization (NATO) naval forces have been maintaining their size. NATO naval forces have also significantly upgraded their antisubmarine warfare, antisurface warfare, and air defense capability. The German navy replaced its F-104s with the Tornado and upgraded NATO's defense capability of the Baltic approaches. U.S. Navy and Marine upgrades include the F/A-18, F-14D, and AV-8B. The United States upgrade provides Supreme Allied Commander, Atlantic (SACLANT), with more offensive and defensive capability in the Norwegian and Mediterranean Seas.



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Figure 1-2.—NATO regions and Soviet theaters of operations.

NATO is divided into three areas of responsibilities: Allied Forces Northern Europe (AFNORTH), Allied Forces Central Europe (AFCENT), and Allied Forces Southern Europe (AFSOUTH) (fig. 1-2). The opposing Soviet forces are also divided into three areas of responsibility called theaters of operations (TVD). They are the Northwestern TVD, Western TVD, and Southern TVD.

### The Warsaw Pact

Soviet President Mikhail Gorbachev has been, and plans to continue, making force cuts in

anticipation of future arms control talks. Although the Soviets may increase future withdrawals of troops from the European theater, they still have an impressive reserve and mobilization capacity. The Soviets are reducing their total force numbers and using the best of their excess equipment to modernize their remaining forces.

The Soviets have taken on a long-range strategic nuclear modernization program to comply with strategic arms reduction treaty constraints expected in the future. The Soviets are replacing their large, out-of-date missiles with newer, more efficient and accurate missile systems. The Soviets will continue to upgrade their land- and sea-based ballistic missiles and bombers.

As a whole, the Soviet Union is the maritime power (refer to figure 1-3 for assignment of Soviet forces) of the Warsaw Pact countries. The U.S. Navy's role in combating that threat is to limit the Soviet Northern and Black Sea Fleets in their ability to deploy. Surface ships and submarines stationed at Severodvinsk must transit the Barents Straits and one of three other choke points to enter the Atlantic Ocean. The Greenland-Iceland gap is the northern choke point, the Iceland-England gap is the middle choke point, and the Danish Strait is the southern choke point. These three choke points are the United States' and NATO's last line of containment for the Northern Fleet.

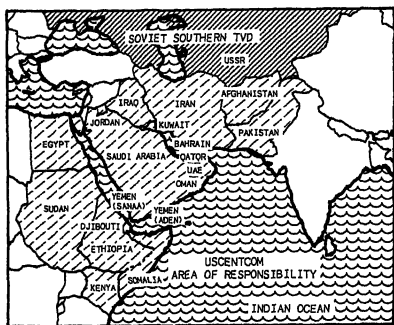
The Black Sea Fleet in Sevastopol will be much easier to contain in the event of hostilities. To enter the Atlantic Ocean, the Black Sea Fleet must transit the Turkish Straits. Turkey, a NATO member and ally of the United States, could contain the Black Sea Fleet by sinking a ship in the Turkish Straits.

Soviet ships on station in the Mediterranean must transit either the Strait of Gibraltar or the Suez Canal to enter open water. U.S. allies bordering both choke points makes containment of Soviet ships in the Mediterranean Sea far less difficult than restricting the Northern Fleet.

When evaluating the Soviet naval force and the challenge it presents, we would be wise to ask, What is the primary mission of the Soviet navy? Until 1953 we viewed support of land-based forces vice worldwide power projection as the primary mission of the Soviet Navy. Since 1953 the Soviets have been developing their navy into a force capable of worldwide power projection. The Soviets want the world to view their primary mission as worldwide power projection, when it is really the support of land-based forces. The Soviets have two basic problems in projecting that image. First, they have a shortage of maritime air

PACIFIC OCEAN FLEET		BLACK SEA FLEET	
VERTICAL/SHORT TAKE OFF AND LANDING (V/STOL) AIRCRAFT CARRIERS	2	V/STOL AIRCRAFT CARRIERS	0
LARGER PRINCIPAL SURFACE COMBATANTS	33	LARGER PRINCIPAL SURFACE COMBATANTS	32
SMALLER FRIGATES AND CORVETTES	34	SMALLER FRIGATES AND CORVETTES	33
MINE COUNTERMEASURES (MCM) SHIPS	26	MCM SHIPS	26
ASW/ASUW PATROL COMBATANTS	30	ASW/ASUW PATROL COMBATANTS	27
AMPHIBIOUS WARFARE SHIPS	19	AMPHIBIOUS WARFARE SHIPS	14
BALLISTIC MISSILE SUBMARINES	26	BALLISTIC MISSILE SUBMARINES	0
ATTACK SUBMARINES	83	ATTACK SUBMARINES	23
OTHER SUBMARINES	9	OTHER SUBMARINES	6
NAVAL AVIATION	480	NAVAL AVIATION	245
BALTIC FLEET		CASPIAN FLOTILLA	
V/STOL AIRCRAFT CARRIERS	0	V/STOL AIRCRAFT CARRIERS	0
LARGER PRINCIPAL SURFACE COMBATANTS	22	LARGER PRINCIPAL SURFACE COMBATANTS	0
SMALLER FRIGATES AND CORVETTES	25	SMALLER FRIGATES AND CORVETTES	5
MCM SHIPS	24	MCM SHIPS	11
ASW/ASUW PATROL COMBATANTS	40	ASW/ASUW PATROL COMBATANTS	2
AMPHIBIOUS WARFARE SHIPS	22	AMPHIBIOUS WARFARE SHIPS	15
BALLISTIC MISSILE SUBMARINES	4	BALLISTIC MISSILE SUBMARINES	0
ATTACK SUBMARINES	32	ATTACK SUBMARINES	0
OTHER SUBMARINES	1	OTHER SUBMARINES	0
NAVAL AVIATION	220	NAVAL AVIATION	0
NORTHERN FLEET		TOTAL SOVIET NAVAL FORCES	
V/STOL AIRCRAFT CARRIERS	2	V/STOL AIRCRAFT CARRIERS	4
LARGER PRINCIPAL SURFACE COMBATANTS	29	LARGER PRINCIPAL SURFACE COMBATANTS	122-126
SMALLER FRIGATES AND CORVETTES	34	SMALLER FRIGATES AND CORVETTES	131
MCM SHIPS	30	MCM SHIPS	114
ASW/ASUW PATROL COMBATANTS	20	ASW/ASUW PATROL COMBATANTS	119
AMPHIBIOUS WARFARE SHIPS	11	AMPHIBIOUS WARFARE SHIPS	81
BALLISTIC MISSILE SUBMARINES	39	BALLISTIC MISSILE SUBMARINES	69
ATTACK SUBMARINES	118	ATTACK SUBMARINES	261-263
OTHER SUBMARINES	18	OTHER SUBMARINES	34
NAVAL AVIATION	355	NAVAL AVIATION	1300
MEDITERRANEAN FLOTILLA			
LARGER PRINCIPAL SURFACE COMBATANTS	6-10		
ATTACK SUBMARINES	5-7		

Figure 1-3.—Assignment of Soviet naval forces.



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Figure 1-4.—Middle East and Southwest Asia area of operation.

support when operating outside the range of land-base aircraft. Second, logistics support is generally supplied by their merchant fleet vice their navy.

### Middle East and Southwest Asia

The Middle East and Southwest Asia (fig. 1-4) area of operation includes northeast Africa, the Arabian Peninsula, and the area of Asia bordering the Persian Gulf.

The large geographic area of the region provides for extremes of topography and climate. It has mountains higher than 24,000 feet and deserts below sea level. Temperatures range from 130°F or more to below freezing.

This region has many different cultural, ethnic, and religious groups. At present six major languages and hundreds of dialects are spoken in that region. The region and people have a history of conflict dating back to the Sumerians and the ancient city of Ur in southern Babylonia (southern Iraq).

**CHOKE POINTS.**—The Middle East and Southwest Asia are the principal sources of oil for the industrial countries. Located in the Persian Gulf region is 55 percent of the world's known oil reserves. Oil from this area becomes more important as the use of oil grows and the world's reserves decrease. Hostile countries could use the Strait of Gibraltar or the Suez Canal as choke points. That would disrupt international shipping between the Mediterranean Sea and the Indian

Ocean or between the oil-rich gulf states and the rest of the world.

About 10 percent of the world's sea trade passes through the Suez Canal at the choke point of Babel Mandeb. Most of the Persian Gulf oil passes through the choke point at the Strait of Hormuz. Persian Gulf states are expanding overland oil pipe routes to lessen the importance of commerce through the Straits of Hormuz. The overland oil pipes will connect to terminals outside the Persian Gulf.

**POSSIBLE ADVERSARIES.**—The United States' major goals in this region are to provide stability and unrestricted seaborne commerce and to ensure Western access to regional oil supplies. The United States also has strong ties to Israel and is committed to ensuring it remains strong and independent.

Recent examples of the willingness of the United States to commit assets to the region include ship escorts from 1987 to 1988 during the Iran-Iraq war. In August 1990 the United States committed a substantial naval force to the area in support of Operation Desert Shield and Desert Storm. The goal of these operations was to deter Iraq from attacking Saudi Arabia and to convince Iraq to withdraw from Kuwait. Total force commitment to Operation Desert Shield and Desert Storm included 6 carrier battle groups and 450,000 combat personnel.

**CONTROL OF SHIPPING**—U.S. naval presence in the Middle East and Southwest Asia includes the Sixth Fleet in the Mediterranean Sea, naval units of the Sixth and Seventh Fleets in the Indian Ocean and Persian Gulf, and U.S. Central Command (USCENTCOM) forces. During peacetime our forces in the Mediterranean consist of 1 or 2 aircraft carriers, with roughly 100 embarked aircraft, or a battleship; supporting cruisers, destroyers, and frigates; amphibious ships; supply, fuel, and service ships; and nuclear submarines. The Sixth Fleet also includes a 2,000-member Marine Expeditionary Unit (special operations capable). USCENTCOM naval forces in the region, under Commander Middle East Forces, routinely include a command ship and four combatants. Additional forces available for USCENTCOM include 5 Army divisions and 2 brigades; 1 Marine Expeditionary Force (1 division and air wing); 21 Air Force tactical fighter squadrons; B-52 bombers; 3 carrier battle groups; 1 battleship surface action group; and 5 maritime patrol aircraft squadrons.

The routine standing force ensures international waterways remain open to shipping in the region and provides forward deployed U.S. forces during hostilities. The optional forces available to USCENTCOM are used in crisis situations. They were deployed in support of Operation Desert Shield when Iraq invaded Kuwait in August 1990.

## **Africa**

Looking at the strategic importance of Africa, we need to divide Africa into northern Africa and southern Africa. From a naval viewpoint, northern Africa is important because it borders the Mediterranean Sea and the Red Sea. From an economic or strategic resources viewpoint, southern Africa is important because of the vast wealth in minerals it exports to developed countries.

**NORTHERN AFRICA.**—Countries receiving Soviet military aid in northern Africa include Guinea, Mali, Algeria, Libya, Egypt, and Ethiopia. Of those countries, only Libya has been openly hostile to the United States.

For many years Libya openly sponsored terrorist groups and carried out acts of aggression in the Gulf of Sidra. However, Libya has decreased its level of aggression since the U.S. Navy lead Operation El Dorado on 15 April 1986.

Operation El Dorado was a joint Air Force and Navy mission composed of strike aircraft based aboard the USS *America* (CV66) and USS *Coral Sea* (CV43) and F-111 Air Force bombers based in England. Using a high-speed, low-altitude approach, 12 Navy A-6Es struck the Benin airfield and Benghazi military barracks. At the same time, 12 F-111s struck the Aziziyah barracks, the Sidi Bilal terrorist training camp, and the Tripoli military airport. Navy and Marine F/A-18s destroyed surface-to-air missile sites, while Navy E-2Ds, Navy and Marine EA-6Bs, and Air Force F-111s provided electronic countermeasures and command and control support. Navy F-14s and F/A-18s were on station to provide fighter support.

The successful attack caught the Libyans by surprise. Except for sporadic surface-to-air missiles, the Libyans did not engage the U.S. strike force. The United States' display of force and stated willingness to strike again has played a major role in deterring Libyan President Muammar Muhammad al-Qaddafi from sponsoring further terrorist attacks against Americans.

The main mission of the Navy in the North African region is to keep the sea-lanes open. The secondary mission is to support interest and political goals in the region. The major challenger to U.S. sea power in the African theater of operations is the Soviet Union. Minor challengers include Libya (31-42 ships) and Guinea (2-3 ships).

**SOUTHERN AFRICA.**—The Soviets wish to increase their influence in southern Africa. Countries currently friendly to the Soviets include Tanzania, Mozambique, Zambia, Zimbabwe, Botswana, Angola, and Namibia.

**STRATEGIC RESOURCES.**—Africa is among the world's richest continents in known mineral wealth. It has a large share of the world's mineral resources in coal, petroleum, natural gas, uranium, radium, low-cost thorium, and other valuable ores.

The abundant natural resources available in Africa make it strategically important to Western nations. The Navy may now appear to have no role in this area except in the Mediterranean Sea and Red Sea. However, we may be called upon to support U.S. interest in the many regional conflicts happening in Africa. An example of one of the regional conflicts is the civil war in Liberia, on Africa's western coast. President Bush ordered a Marine amphibious group to that area in May 1990 to evacuate personnel. Through September 1990, the Marines evacuated more than 2,100 people, including over 200 U.S. citizens.

## **The Far East**

Subic Bay Naval Base and Clark Air Base are strategically important to U.S. interests in the Far East. We could lose both bases because their leases must be periodically renegotiated with the Philippine government. These bases are on the sea-lanes and air routes to the Indian Ocean and the Persian Gulf. Both bases played a vital role in Operation Desert Shield. The bases also play a vital role in extending the range of U.S. forces. Much of the world's oil that travels by ship through the various straits in the Indonesian area are within range of U.S. bases in the Philippines.

The U.S. strategic objective in the East Asia and Pacific area is to deter war. Strategic strike capability, Pacific Command (PACOM) forces, bilateral defense treaties, forward deployment and basing, and weapons technology all contribute to deterrence in the region. If deterrence fails, the United States and the Soviet Union could become

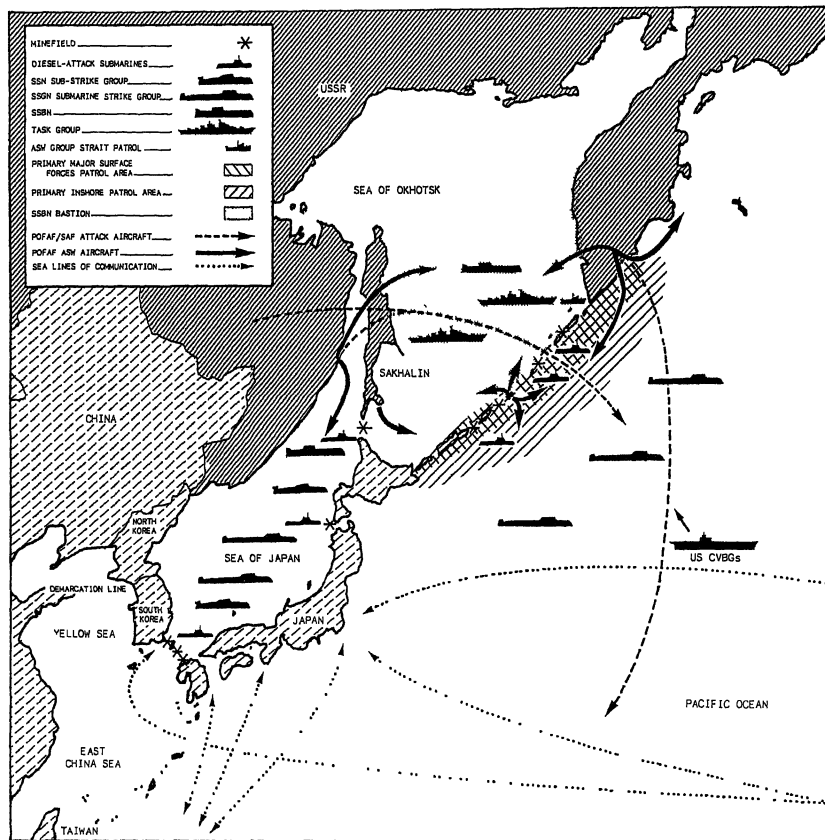


Figure 1-5.—Soviet operations in the Sea of Okhotsk and the Northwest Pacific.

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engaged in conflict. If that happens our mission will be to contain the Soviet Pacific Fleet in the Sea of Okhotsk and the Sea of Japan (fig. 1-5).

## THE NUCLEAR THREAT

During the past the major nuclear powers have done a good job in managing the nuclear threat. However, newly emerging Third World countries

have engaged in an alarming trend of acquiring nuclear-capable ballistic missile systems. Saudi Arabia, Iraq, Iran, Pakistan, Libya, and other Middle Eastern countries are working hard to acquire nuclear capability. In contrast to the Third World countries, the United States, the NATO countries, and the Soviet Union are working to reduce the number of nuclear weapons in their arsenals.

## Arms Control

The American quest for stability and the willingness of the Soviets to bargain have led to arms control negotiations. That is not a new effort. A history of arms control agreements exists between the two superpowers stretching back to 1959.

The first round of Strategic Arms Limitation Talks (SALT), concluded in 1972, produced the Antiballistic Missile (ABM) Treaty that severely restricts the deployment of ABM systems by either country. The SALT I also produced the Interim Agreement on Strategic Offensive Arms that placed limits on the number of strategic nuclear weapons. That agreement was to remain in effect for 5 years, but both countries pledged to abide by its provisions until further negotiations were concluded.

In 1974 both countries agreed to maintain an equal number of strategic delivery vehicles. Additionally, they agreed to submit the number of delivery vehicles they could equip with multiple independently targetable reentry vehicle (MIR V) warheads. Those agreements formed the basis for the SALT II agreement in 1979. SALT II continued the agreement of equal limits but lowered the level of limitation on strategic weapons delivery systems. That new agreement forced the Soviet Union to dismantle several hundred missile launchers. In addition, the SALT II agreement placed sublimits on MIR V ballistic missiles in general and on MIR V intercontinental ballistic missiles (ICBMs) in particular. A provision, which accompanies the basic treaty, imposes restraints on the development of new and more sophisticated weapons.

The United States sees arms control as an important complement to the strategy of deterrence. We are seeking to reach an agreement with the Soviet Union on a Strategic Arms Reduction Treaty (START). Our objective is to enhance strategic stability through equal and verifiable limitations on both sides. Despite some key differences on issues, we are confident an agreement can be reached.

In negotiations the United States will continue to try to limit American-Soviet competition in strategic nuclear forces. The United States will continue to pursue the basic objectives of strategic deterrence, adequate stability, and equivalence. That process began with the SALT I agreement and has progressed through the SALT II and START.

## Present Posture

The Soviet navy could pose the greatest potential threat to the U.S. Navy. Realistically, however, small Third World navies now pose more of an actual threat to U.S. naval forces. Since the U.S. Navy is primarily prepared to engage the Soviet navy, we will compare U.S. and Soviet maritime missions.

The Soviet navy's primary mission is to be prepared to conduct strategic nuclear strikes from SSBNs operating in protected waters close to the Soviet Union. The key to carrying out that mission is strategic defense of seaward approaches to the Soviet Union. The Soviet navy, air force, and army will try to control the Soviet Union's peripheral seas and key land masses. The Soviets' aim in controlling these areas is to deny Western access to areas needed to threaten Soviet SSBNs. The Soviets usually create sea denial zones up to 2,000 kilometers from the Soviet mainland. The primary targets in the sea denial zones are sea-launched cruise-missile-equipped submarines, surface ships, and aircraft carriers.

Disruption of U.S. supply lines to Europe and Asia is another Soviet objective. The Soviets will attempt to interdict sea lines of communications (SLOC) and establish sea denial zones. During conflict the Soviets are expected to attack critical SLOCs that link the United States and its allies. The Soviet submarine force plays a primary role in the disruption of SLOCs.

The U.S. national security strategy is based on deterrence, forward defense, and collective security. Forward-deployed U.S. and allied combat ready naval forces can provide a visible deterrent to any country bordered by an ocean or a sea. These forces operate globally in support of bilateral and multilateral commitments and project military power in support of national policy and interest. U.S. naval forces have four primary peacetime objectives:

1. Defending the continental United States (CONUS) from attack
2. Assuring freedom of the seas and protecting important SLOCs from adversaries
3. Providing regional stability by supporting friends and deterring aggression
4. Functioning as a visible power projection force capable of responding to crises and low-intensity conflicts on short notice anywhere in the world

Should deterrence fail, the U.S. Navy's mission is the forward defense of the United States and its allies. The key objective is protection of SLOCs from the United States to Europe and Asia. To accomplish that objective, the U.S. Navy will engage Soviet naval forces in the Soviet "sea control" and "sea denial" zones. The overall objective of the engagement will be to remove the enemy's offensive and defensive capabilities and ensure freedom of the seas for the United States and its allies while deterring Soviet use of nuclear weapons at sea.

**SUBMARINES.**—The last U.S. diesel submarine, the USS *Blueback* (SS 581), was decommissioned on 1 October 1990. The remaining U.S. attack submarine force is composed of Sturgeon-, Skipjack-, Skate-, Permit-, and Los Angeles-class nuclear-powered submarines (SSNs). The United States SSBNs form the sea leg of the U.S. Trident nuclear deterrent. The SSBN force includes the Lafayette-, James Madison-, Benjamin Franklin-, and Ohio-class submarines (fig. 1-6).

The United States has a smaller, but more effective, submarine force than the Soviets because of a superior knowledge of submarine technology. That technology has resulted in superior submarine quieting systems, combat systems, and antisubmarine warfare (ASW) open ocean acoustic surveillance and detection systems. These systems enable the United States and its allies to maintain a superior technological and numerical advantage over the Soviet submarine force.

The principle Soviet platform for both offensive and defensive naval warfare is the submarine. The Soviets use the SSBN as their principle strategic platform. They use attack (SS and SSN) and cruise missile (SSGN) submarines to counter submarine and surface ship threats. The SS, SSN, and SSGN submarines are the primary threat to U.S. and allied sea lines of communications (SLOCs). The Soviet navy has the world's largest general-purpose submarine force, totaling about 300 active units. We expect the Soviets to decrease their submarine force in number during the 1990s and beyond. That decrease will occur as they replace older submarines with newer diesel and nuclear-powered submarines. The decrease in the total number of submarines will not lessen the threat of their submarine force because of improvements in design, stealth, and combat capability.

**SURFACE SHIPS.**—The Soviet Union and the U.S. naval surface forces have different missions (fig. 1-7). The Soviets are primarily a coastal navy emerging into a blue water fleet. The Soviets can provide only limited long-range power projection of surface forces or naval air superiority. These limitations result from their primary mission of providing protection to the mainland and defending the ballistic missile submarine force close to the mainland.

The principle weakness of the Soviet navy is its relative lack of priority in providing underway replenishment. The Soviets rely on their extensive merchant fleet to provide supplies to ships engaged in sustained long-range operations.

Another weakness of the Soviet surface navy is the lack of long-range air power like that provided by a U.S. carrier battle group. That situation will change somewhat as aircraft carriers now under construction are brought into service during the 1990s.

**AIRCRAFT.**—Soviet shipborne capable aircraft are primarily limited to helicopters and vertical/short takeoff and landing (V/STOL) aircraft. The Soviets are increasing their air capability with the introduction of the new Tbilisi-class aircraft carrier that will include the new Yak-41 V/STOL fighter and the Su-27 Flanker. Despite the introduction of that class of aircraft carrier, Soviet naval aviation (refer to table 1-1) will remain primarily a land-based force.

U.S. naval aviation (refer to table 1-2) is a versatile multimission force capable of providing fleet defense, ASW, and long-range strike and attack capability. The United States should continue to retain a significant advantage in seaborne air power for the foreseeable future.

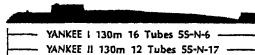
## **CHEMICAL AND BIOLOGICAL WEAPONS**

The increase of chemical and biological weapons has become a global problem. To date, more countries than ever have chemical and biological weapons. It is alarming that many of these countries are in areas of strategic importance to the United States. In the Middle East the problem is particularly acute.

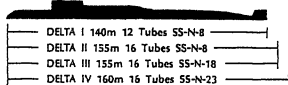
Third World countries view the use of chemical and biological weapons differently than the United States. The United States' stance on chemical and biological weapons is "that it is abhorrent, reprehensible, and unacceptable that chemical weapons ever be used against the men

# SOVIET/US NUCLEAR-POWERED BALLISTIC MISSILE SUBMARINES

## YANKEE-CLASS



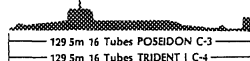
## DELTA-CLASS



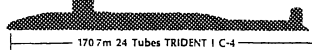
## TYPHOON-CLASS



## LAFAYETTE-, JAMES MADISON-, AND BENJAMIN FRANKLIN-CLASSES



## OHIO-CLASS



\* LOS ANGELES-CLASS IS SHOWN FOR COMPARISON PURPOSES  
OTHER US ATTACK SUBMARINE CLASSES INCLUDE  
STURGEON, SKIPJACK, SKATE, AND PERMIT

# SOVIET/US ATTACK SUBMARINES

## TANGO-CLASS SS



## CHARLIE II-CLASS SSGN



## VICTOR III-CLASS SSN



## ALFA-CLASS SSN



## OSCAR-CLASS SSGN



## KILO-CLASS SS



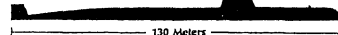
## MIKE-CLASS SSN



## SIERRA-CLASS SSN



## YANKEE-CLASS SSN



## AKULA-CLASS SSN



## LOS ANGELES-CLASS SSN-688 \*

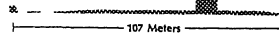


Figure 1-6.—U.S. and Soviet submarine forces comparison.

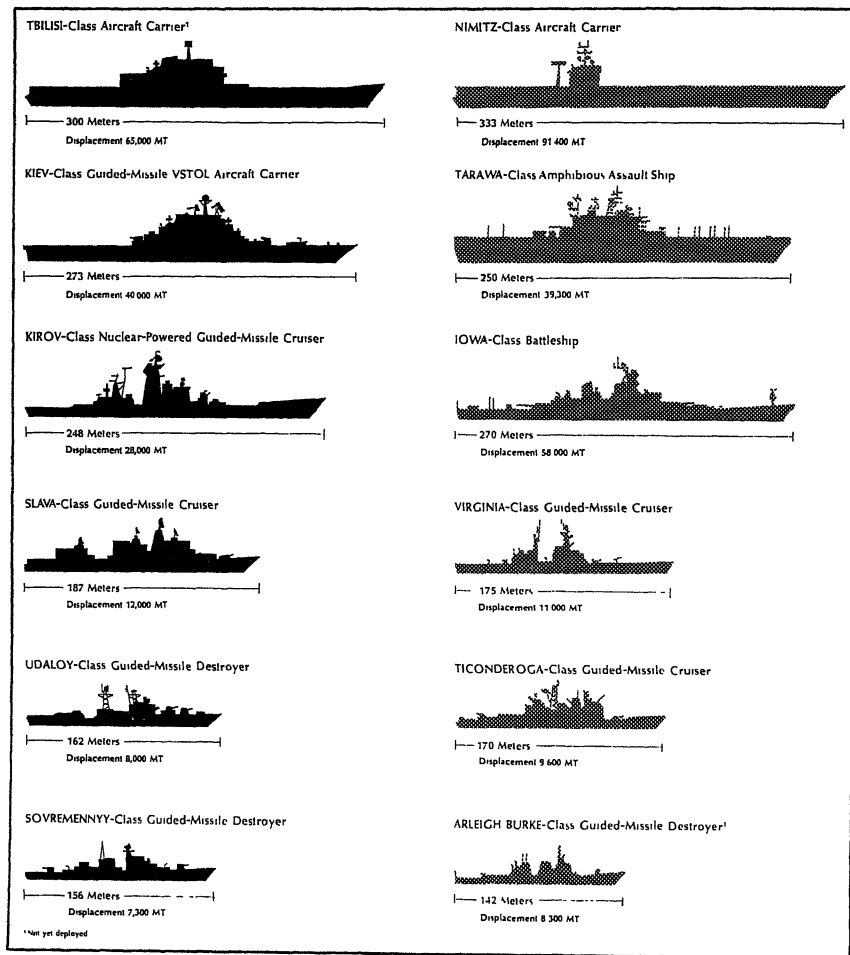


Figure 1-7.—Soviet Union and United States surface ship comparison.

Table 1-1.—Soviet Naval Seaborne and Land-Based Aircraft

SOVIET NAVAL AIRCRAFT - Seaborne	
TYPE	MISSION
ka-25 Hormone*	ASW
ka-27/ka-29 Heli*	ASW
Mi-14BT Haze B*	Mine sweeping
MIG-29 Fulcrum	Fleet air defense
Su-27 Flanker	Fleet air defense
Yak-38 Forger Fighter	Attack
*Helicopter	
SOVIET NAVAL AIRCRAFT - Land-Based	
TYPE	MISSION
Mi-8 Hip*	Transport/assault/Electronic countermeasures (ECM)
Mi-14 PL/BT/PS Haze A/B*	ASW/assault
An-12 Cub	Intel/ECM
Be-12 Mail	Long-range ASW/Recon
Il-20 Coot A	Long-range Elint/Recon
Il-38 May	Long-range Recon/ASW
Su-17 Fitter C/D	Antiship/strike-support
Tu-16 Badger	Strike/attack/ECM/tanker/Recon
Tu-22 Binder	Recon/Intel/EW
Tu-22M Backfire B/C	Medium-range nuclear/conventional strike
Tu-95/Tu-142 Bear D/F/J	Long-range multimission
*Helicopter	

and women of the armed forces of the United States or its allies and that the United States will do all it can to prevent such use." A statement made by the foreign minister of Syria is an example of the attitude of Third World countries. He said, "It is unacceptable, given continued Israeli occupation and the disequilibrium existing in our region, to adopt selective concepts and methods aimed at disarmament concerning only

Table 1-2.—U.S. Navy and Marine Corps Seaborne and Land-Based Aircraft

U.S. NAVAL AIRCRAFT - Seaborne	
TYPE	MISSION
UH-1N Twin Huey*	Support logistics**
AH-1J/T Sea Cobra*	Close support**
AH-1W Super Cobra*	Close support**
HH-46D/E, CH-46D/E, UH-46D/E*	Support/assault**/resupply
SH-2F Seasprite*	ASW
CH-53D Sea Stallion*	Assault/support/transport
CH-53E Super Stallion*	Transport **/support
SH-60B Seahawk*	Medium-range ASW
SH-3G/H Sea King*	Carrier battle group ASW/SAR
RH-53D Stallion*	Airborne mine countermeasures (AMCM)
MH-53E Sea Dragon*	AMCM
KA-6D Intruder Tanker	Tanker/Strike/Recon
A-6E Intruder	Strike/Recon
EA-6B Prowler	EW/Recon
E-2B/C Hawkeye	Air defense/strike op direction
F-14A/A Plus Tomcat	Fleet long-range air defense
S-3A Viking	ASW
S-3B Viking	ASW
A-4M Skyhawk	Strike**
F/A-18 Hornet	Strike
AV-8B Harrier II	Close support**
A-7E Corsair II	SAM suppression
*Helicopter	
**USMC	
U.S. NAVAL AIRCRAFT - Land-based	
TYPE	MISSION
B-52G Stratofortress#	Maritime support
KC-130F/R/T Hercules	Elint/TACAMO/tanker
EP-3E Orion	EW/Intel
P-3B/C Orion	ASW
E-6A Hermes/TACAMO	Communications
#Allocated to maritime support by USAF	

one kind of mass destruction weapon without taking into account the need of disarmament concerning other forms." Clearly, these countries consider chemical and biological weapons as an economical alternative to nuclear weapons. They are unwilling to talk of disarmament without linking chemical and biological weapons to nuclear weapons.

The rise of chemical and biological weapons in the Middle East has been linked to Israel and France. Israel and France were joint partners in a nuclear warhead development program from 1957 to 1959. France successfully tested a nuclear device in 1960. Israel used its connection with France to obtain a research reactor from France. Israel will neither confirm nor deny that it has nuclear weapons, but for many years Israel was thought to possess between 20 to 25 devices of 20-kiloton size. New evidence suggests that Israel has between 100 and 200 nuclear warheads and can produce thermonuclear devices. Israel also has weapons delivery systems in the form of aircraft, the Lance missile (mobile, 100-kilometer range), and the Jerico 2 missile (mobile, 1500-kilometer range).

In an attempt to decrease the number of nuclear weapons in the Middle East, countries in that region have conducted preemptive strikes on nuclear reactors. In September 1980 the Iraqis led a strike against an Iraqi reactor at Osirak. The attack damaged the reactor but did not destroy it. The Israelis destroyed the Osirak reactor with an air strike in June 1981.

The chemical agent most likely to be used by countries desiring to produce chemical weapons is the nerve agent Tabun. (Refer to tables 1-3 and 1-4 for a description of chemical agents and defense.)

Any country that has the capability of producing organophosphorus pesticides can easily produce Tabun. Other types of nerve agents are more difficult to produce, but could be done with help from industrialized countries. Countries in the Middle East with known or suspected chemical weapons capability include Israel, Egypt, Libya, Syria, Iran, and Iraq.

## **EMERGENCE OF THIRD WORLD COUNTRIES**

Of the emerging Third World countries, Iran, Iraq, Libya, and Syria deserve a special look because of their past hostility toward the United States. More alarming than the past hostility towards the United States is the cavalier attitude

of the leaders of Iran, Iraq, and Libya in their use of chemical weapons.

### **Iran**

Iran has been hostile toward the United States since radical, religious forces overthrew the government in 1979. Iran is an Islamic Republic with ties to the Soviet Union, from whom it buys many of its military weapons.

During the 8-year Iraq-Iran war, the United States supported Iraqi President Saddam Hussein in an attempt to topple the Iranian government. In a strange turn of events, the United States asked Iran for support of Operation Desert Shield.

Also during 1987 to 1988, U.S. warships ensured freedom of passage to tankers carrying oil through the Persian Gulf. U.S. forces engaged elements of the Iranian navy and attacked Iranian oil platforms in the Persian Gulf.

The Iraqis have an arsenal of Soviet SS-1 (Scud-B) missiles and would like to develop their surface-to-surface missile capability. Iran wants to purchase the Chinese M-9 missile (600-kilometer range). The Iraqis claim they can produce their own version of the SS-1. They have produced a version of the Chinese Type 53 artillery rocket, called the Oghab, that has a 40-kilometer range. Iran is also perfecting an unguided rocket called the Iran 130, which has a range of 130 kilometers. These missiles and rockets can be fitted with chemical warheads as well as conventional warheads. The United States believes Iran has a stockpile of mustard gas and phosgene and may be trying to obtain nerve gas.

### **Iraq**

Iraq is a Soviet client state in the Middle East. From 1980 to 1990 Iraq built up its military until it became the sixth largest military power in the world. In August 1990 Iraq invaded Kuwait. The stated Iraqi reason for the invasion was a policy difference with Kuwait concerning the price and production quota of Kuwaiti oil. The United States intervened on behalf of Saudi Arabia to stop the Iraqi advance short of the Saudi oil fields.

Iraq is working to purchase the technology to build nuclear weapons. The customs agents of the United States and England have worked together to slow the Iraqi effort. They recently intercepted a shipment of electronic components, suitable for use in nuclear weapons, bound for Iraq.

Table 1-3.—Properties of Chemical Agents

AGENTS	CHEMICAL AGENT SYMBOL	STATE AT 20°C	ODOR	RATE OF ACTION	PHYSIOLOGICAL ACTION	USE	PERSISTENCY
NERVE	Tabun GA	Colorless to brown liquid	Faintly fruity, none when pure	Very rapid	Cessation of breathing and death may follow.	Quick-action casualty agent	Depends upon munitions used and weather. Heavy splashed liquid persists 1 to 2 days under average weather conditions.
	Sarin GB	Colorless liquid	Almost none when pure	Very rapid	Cessation of breathing and death may follow.	Quick-action casualty agent	Evaporates at about the same rate as water. Depends upon munitions used and the weather.
	Soman GD	Colorless liquid	Fruity, camphor odor when pure	Very rapid	Cessation of breathing and death may follow.	Quick-action casualty agent	Depends upon munitions used and the weather. Heavy splashed liquid persists 1 to 2 days under average weather conditions.
	VX	Colorless liquid	Odorless	Rapid	Produces casualties when inhaled or absorbed.	Quick-action casualty agent	
BLISTER	Distilled mustard HD	Colorless to pale yellow liquid	Garlic	Delayed, hours to days	Blisters; destroys tissues; injures blood vessels.	Delayed-action casualty agent	Depends upon munition used and the weather. Heavy splashed liquid persists 1 to 2 days in concentrations to provide casualties of military significance under average weather conditions, and 1 week to several months under very cold conditions.
	Nitrogen mustard HN-1	Dark liquid	Fishy or musty	Skins effects delayed 12 hours or longer	Blisters, affects respiratory tract, destroys tissues, injures blood vessels.	Delayed-action casualty agent	Depends on munitions used and the weather. Somewhat shorter than duration of effectiveness for HD.
	Nitrogen mustard HN-2	Dark liquid	Soapy in low concentrations, fruity in high concentrations	Serious effects same for HD, minor effects sooner	Similar to HD. Broncho-pneumonia may occur after 24 hours.	Delayed-action casualty agent	
	Nitrogen mustard HN-3	Dark liquid	None if pure	Immediate effects on contact	Similar to HN-2.	Delayed-action casualty agent	Considerably longer than for HD.
	Phosgene oxide Dichloro-foroxime CX	Colorless solid or liquid	Sharp, penetrating	Rapid	Violently irritates mucous membranes of eyes and nose, forms welts rapidly.		Somewhat shorter than for HD. Very short duration under humid conditions.
	Lewisite L	Dry oily liquid	Variable may resemble geraniums	Prompt eye stinging, delayed blistering	Similar to HD plus may cause systemic poisoning.	Moderately delayed casualty agent	
	Mustard Lewisite mixture HL	Dark oily liquid	Garlic like	Immediate eye effect, skin effects 1/2 to 1 hour	Similar to HD plus may cause systemic poisoning.	Delayed-action casualty agent	Depends on munition used and the weather. Somewhat shorter than that of HD.
CHOKING	Phosgene CG	Colorless gas	New-mown hay, green corn	Immediate to 3 hours, depending upon concentration	Damages lungs	Delayed-action casualty agent	Short, however, vapor may persist for some time in low places under calm or light winds and atmospheric conditions (Inversion).
	Diphosgene DP	Colorless liquid	New-mown hay, green corn	Immediate to 3 hours depending upon concentration	Damages lungs	Delayed-action casualty agent	
	Chlorine CL	Yellow gas	Chlorine	Immediate	Damages lungs	Quick-action casualty agent	
BLOOD	Cyanogen chloride CK	Colorless gas	Somewhat like AC	Rapid	Interferes with use of oxygen by body tissues	Quick-actions casualty agent	Short, vapor may persist in jungle or forest for some time under suitable weather conditions.
	Hydrogen cyanide AC	Colorless gas or liquid	Bitter almonds	Very rapid	Interferes with use of oxygen by body tissues	Quick-action casualty agent	Short, the agent is highly volatile and in the gaseous state it dissipates quickly in the air.

Table 1-4.—Defense against Chemical Agents

TYPE OF AGENT	U S AGENT EQUIVALENT	PHYSICAL CHARACTERISTICS	NORMAL MEANS OF DISSEMINATION	MEANS OF DETECTION	PROTECTION REQUIRED	PERSONNEL DECONTAMINATION	SYMPTOMS	SELF AID/ BUDDY-AID
NERVE	GA/Tabun GB/Sarin GD/Soman	Colorless	Aerosol or vapor	M256A1 and M256 Kits CWDD CAM	Protective mask and clothing clothing	None needed	Difficult breathing convulsions, drooling, vomiting, dimmed vision	Nerve agent antidote injection, 1 e , 2-PAM Cl & atropine Artificial respiration may be necessary
	VX Thickened G-Agents		Liquid droplets	All of the above plus M8 and M9 Paper		Flush eyes with water Decontaminate skin skin with M258A1 Kit		
BLISTER	HD/Mustard HN/Nitrogen L/Lewisite HL/Mustard-Lewisite CX/Phosgene Oxime	Pale yellow Dark yellow Dark, oily Dark, oily Colorless	Liquid droplets	M256A1 and M256 Kits M8 and M9 Paper	Protective mask and clothing	Flush eyes with water Decontaminate skin with M256A1 Kit	HD & HN-No early symptoms L & HL-searing of eyes & stinging of skin CX-irritation of eyes & nose	None
BLOOD	AC/Hydrogen Cyanide CK/Cyanogen Chloride	Colorless	Vapor (Gas)	M256A1 and M256 Kits	Protective mask	None	Incapacitates, kills if high concentration is inhaled.	None Artificial respiration may be necessary
CHOKING	CG/Phosgene	Colorless	Vapor (Gas)	M256A1 and M256 Kits	Protective mask	None	Damages and floods lungs	None For severe symptoms, avoid movement and keep warm.

The Iraqis have chemical weapons and have used them both inside their country and against Iran. Iran claimed to be victim to 253 chemical attacks during its war with Iraq. The United Nations investigated the Iranian claims and found evidence to confirm Iraq's widespread use of mustard gas and nerve agent GA (Tabun).

The Iraqis possess a stockpile of SS-1 (Scud-B) and Frog 7 missiles. They may also have the SS-12 missile, capable of carrying both nuclear and chemical warheads. The addition of the SS-12 missile has allowed Iraq to carry out long-range missile attacks against its enemies, including Israel. Iraq has developed two surface-to-surface missiles: the al-Husayn (650-kilometer range) and the al-Abos (900-kilometer range).

### Libya

Libya openly sponsored terrorist attacks against U.S. military personnel in Europe. After the United States attacked Libya in response to a terrorist attack, terrorist attacks worldwide have decreased. Libya has not recently challenged the United States; however, it remains a threat because of its large chemical weapon capability.

Libya may have used chemical weapons against Chad in 1986. Libya has also drawn international attention over its efforts to secure nerve gas technology. German companies supplying Libya with technology unknowingly helped Libya develop its present chemical warfare capability.

### Syria

Syria may be the United States' most formidable opponent in the Middle East because of its offensive chemical weapons capabilities. Syria is thought to own a wide range of chemical weapons including the nerve agent GB (Sarin).

The Syrian arsenal includes the Soviet SS-1, SS-12 (with warheads for chemical agents including nerve agent VX), and possibly the Chinese M-9 missiles.

### SUMMARY

Over the last 200 years, the Navy has progressed from a small force of two ships to one of the largest navies in the world. The mission of the Navy includes naval presence, sea control, and power projection.

The Navy's traditional theaters of operations include Europe, the Middle East, Africa, the Far

East, and the Americas. These areas are changing, and the outcome of the changes could have an impact on the Navy's mission and goals.

The United States, NATO, and the Soviet Union have been negotiating treaties to reduce the amount of nuclear weapons they own. In contrast, many newly emerging Third World countries are trying to obtain the technology to produce chemical, biological, and nuclear weapons.

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## CHAPTER 2

# MILITARY CONDUCT AND JUSTICE

### LEARNING OBJECTIVES

Upon completion of this chapter, you should be able to do the following:

1. Describe how to conduct a preliminary investigation of offenses.
2. Recognize the purpose and content of *U.S. Navy Regulations*.
3. Describe the content of the *Standard Organization and Regulations of the U.S. Navy*.
4. Explain the Status of Forces Agreement concerning members of the armed forces in foreign countries.

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The topics in this chapter deal primarily with regulations that senior enlisted personnel should be aware of to perform their job with consistency. We will first examine the procedures for conducting a preliminary investigation of offenses. Then we will introduce you to the purpose and content of both *U.S. Navy Regulations* and *Standard Organization and Regulations of the U.S. Navy*. We will close the chapter with a discussion of the Status of Forces Agreement (SOFA).

### THE PRELIMINARY INVESTIGATION

At some point in your career, the legal officer may assign you to serve as a preliminary inquiry officer (PIO). As the PIO you will conduct an investigation of offenses before a captain's mast takes place. You will only investigate relatively minor offenses that are not under investigation by the Naval Investigative Service (NIS) or a fact-finding body.

### REPORT AND DISPOSITION OF OFFENSE(S) (REPORT CHIT)

Naval personnel may be reported for offenses involving military conduct or justice. A complaint

against someone goes through a series of steps from the time it leaves the initiator to the time of the preliminary inquiry.

The legal officer receives the complaint and drafts charges and specifications against the accused on a locally prepared report chit form. Following the guidelines of part IV of the *Manual for Courts-Martial, 1984 (MCM)*, the legal officer writes the charges and specifications using court-martial language. The charges and specifications are then typed on the NAVPERS 1626/7, Report and Disposition of Offense(s) form (figs 2-1 and 2-2). The accused's service record supplies the information required on the front of the report chit. The legal officer or the person who submitted the complaint then signs the report.

The legal officer conducts a personal interview with the accused to inform the person of his or her rights under article 31(b) of the *Uniform Code of Military Justice (UCMJ)*. When the accused acknowledges he or she understands his or her rights, he or she then signs the ACKNOWLEDGED block and the disciplinary or legal officer signs the WITNESSED block.

**THE ACCUSED SHOULD NOT BE INTERROGATED AT THIS TIME.** The legal officer should determine and recommend to the commanding officer or executive officer what restraint, if any, should be imposed at this time.



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The legal officer receives the complaint and drafts charges and specifications against the accused on a locally prepared report chit form. Following the guidelines of part IV of the *Manual for Courts-Martial, 1984 (MCM)*, the legal officer writes the charges and specifications using court-martial language. The charges and specifications are then typed on the NAVPERS 1626/7, Report and Disposition of Offense(s) form (figs 2-1 and 2-2). The accused's service record supplies the information required on the front of the report chit. The legal officer or the person who submitted the complaint then signs the report.

The legal officer conducts a personal interview with the accused to inform the person of his or her rights under article 31(b) of the *Uniform Code of Military Justice (UCMJ)*. When the accused acknowledges he or she understands his or her rights, he or she then signs the ACKNOWLEDGED block and the disciplinary or legal officer signs the WITNESSED block.

**THE ACCUSED SHOULD NOT BE INTERROGATED AT THIS TIME.** The legal officer should determine and recommend to the commanding officer or executive officer what restraint, if any, should be imposed at this time.

**REPORT AND DISPOSITION OF OFFENSE(S)**  
**NAVPERS 1626/7 (REV. 8-81) S/N 0106-LF-018 2636**

To Commanding Officer, \_\_\_\_\_ Date of Report \_\_\_\_\_

1. I hereby report the following named person for the offense(s) noted \_\_\_\_\_

NAME OF ACCUSED	SERIAL NO	SOCIAL SECURITY NO	RATE/GRADE	BR & CLASS	DIV/DEPT

PLACE OF OFFENSE(S) \_\_\_\_\_ DATE OF OFFENSE(S) \_\_\_\_\_

DETAILS OF OFFENSE(S) (Refer by article of UCMJ, if known. If unauthorized absence, give following info: time and date of commencement, whether over leave or liberty, time and date of apprehension or surrender and arrival on board, loss of ID card and/or liberty card, etc.)

NAME OF WITNESS	RATE/GRADE	DIV/DEPT	NAME OF WITNESS	RATE/GRADE	DIV/DEPT

(Rate/Grade/Title of person submitting report)

(Signature of person submitting report)

I have been informed of the nature of the accusation(s) against me. I understand I do not have to answer any questions or make any statement regarding the offense(s) of which I am accused or suspected. However, I understand any statement made or questions answered by me may be used as evidence against me in event of trial by court-martial (Article 31 UCMJ).

Witness \_\_\_\_\_ Acknowledged \_\_\_\_\_  
 (Signature) (Signature of Accused)

PRI-MAST  
RESTRAINT

☐ PRETRIAL  
CONFINEMENT

☐ NO RESTRICTIONS

☐ RESTRICTED: You are restricted to the limits of \_\_\_\_\_ in lieu of arrest by order of the CO. Until your status as a restricted person is terminated by the CO, you may not leave the restricted limits except with the express permission of the CO or XO. You have been informed of the times and places which you are required to muster.

(Signature and title of person imposing restraint)

(Signature of Accused)

**INFORMATION CONCERNING ACCUSED**

CURRENT ENL DATE	EXPIRATION CURRENT ENL DATE	TOTAL ACTIVE NAVAL SERVICE	TOTAL SERVICE ON BOARD	EDUCATION	GCT	AGE
MARITAL STATUS	NO DEPENDENTS	CONTRIBUTION TO FAMILY OR OTHER ALLOWANCE (Annual required by law)		PAY PER MONTH (including cost of foreign duty pay if any)		

RECORD OF PREVIOUS OFFENSE(S) (Date, type, action taken, etc. Nonjudicial punishment incidents are to be included)

Figure 2-1.—Report and Disposition of Offense(s) Form (NAVPERS 1626/7) (Front).

PRELIMINARY INQUIRY REPORT					
from Commanding Officer _____			Date _____		
Transmitted herewith for preliminary inquiry and report by you, including, if appropriate in the interest of justice and discipline, the preferring of such charges as appear to you to be sustained by expected evidence					
MARKS OF DIVISION OFFICER (Performance of duty, etc.) _____					
NAME OF WITNESS	RATE/GRADE	DIV/DEPT	NAME OF WITNESS	RATE/GRADE	DIV/DEPT
COMMENDATION AS TO DISPOSITION			<input type="checkbox"/> REFER TO COURT MARTIAL FOR TRIAL OF ATTACHED CHARGES (Complete Charge Sheet (DD Form 456) through Page 2)		
<input type="checkbox"/> DISPOSE OF CASE AT HAST			<input type="checkbox"/> NO PUNITIVE ACTION NECESSARY OR DESIRABLE		
			<input type="checkbox"/> OTHER		
COMMENT (Include data regarding availability of witnesses, summary of expected evidence, conflicts in evidence, if expected. Attach statements of witnesses, documentary evidence such as service record entries in US cases. Items of real evidence, etc.)					
(Signature of Investigation Officer) _____					
ACTION OF EXECUTIVE OFFICER					
<input type="checkbox"/> DISMISSED <input type="checkbox"/> REFERRED TO CAPTAIN'S MAST			SIGNATURE OF EXECUTIVE OFFICER _____		
RIGHT TO DEMAND TRIAL BY COURT-MARTIAL (Not applicable to persons attached to or embarked in a vessel)					
I understand that nonjudicial punishment may not be imposed on me if before the imposition of such punishment, I demand in lieu thereof trial by court martial. I therefore (do) (do not) demand trial by court martial.					
THESS _____			SIGNATURE OF ACCUSED _____		
ACTION OF COMMANDING OFFICER					
<input type="checkbox"/> DISMISSED <input type="checkbox"/> DISMISSED WITH WARNING (Not considered WUP) <input type="checkbox"/> ADMONITION ORAL/IN WRITING <input type="checkbox"/> REPRIMAND ORAL/IN WRITING <input type="checkbox"/> REST TO _____ FOR _____ DAYS <input type="checkbox"/> REST TO _____ FOR _____ DAYS WITH SUSP FROM DUTY <input type="checkbox"/> FORFEITURE TO FORFEIT \$ _____ PAY PER MO FOR _____ MO(S)			<input type="checkbox"/> CONF ON _____ 1, 2, OR 3 DAYS <input type="checkbox"/> CORRECTIONAL CUSTODY FOR _____ DAYS <input type="checkbox"/> REDUCTION TO NEXT INFERIOR PAY GRADE <input type="checkbox"/> REDUCTION TO PAY GRADE OF _____ <input type="checkbox"/> EXTRA DUTIES FOR _____ DAYS <input type="checkbox"/> PUNISHMENT SUSPENDED FOR _____ <input type="checkbox"/> ART 32 INVESTIGATION <input type="checkbox"/> RECOMMENDED FOR TRIAL BY CCM		
<input type="checkbox"/> DETENTION TO HAVE \$ _____ PAY PER MO FOR (1 2 3) MO(S) DETAINED FOR _____ MO(S)			<input type="checkbox"/> AWARDED SPCM <input type="checkbox"/> AWARDED SDN		
DATE OF HAST _____		DATE ACCUSED INFORMED OF ABOVE ACTION _____		SIGNATURE OF COMMANDING OFFICER _____	
I have been explained to me and I understand that if I feel this imposition of nonjudicial punishment to be unjust or disproportionate to the offenses charged against me I have the right to immediately appeal my conviction to the next higher authority within 5 days.					
SIGNATURE OF ACCUSED _____		DATE _____		I have explained the above rights of appeal to the accused	
				SIGNATURE OF WITNESS _____ DATE _____	
FINAL ADMINISTRATIVE ACTION					
APPEAL SUBMITTED BY ACCUSED _____			FINAL RESULT OF APPEAL _____		
DATED _____					
FORWARDED FOR DECISION ON _____					
APPROPRIATE ENTRIES MADE IN SERVICE RECORD AND PAY ACCOUNT ADJUSTED HERE REQUIRED _____			FILES IN UNIT PUNISHMENT BOOK _____		
DATE _____ (Initials) _____			DATE _____ (Initials) _____		
NAVPERS 1626/7 (REV 8 81) (BACK)			U.S. Government Printing Office 1982-505 106/8488 2 1		

Figure 2-2.—Report and Disposition of Offense(s) Form (NAVPERS 1626/7) (Back).

## PRELIMINARY INQUIRY

The legal officer forwards the report chit to you. Once you receive it, you can begin conducting the preliminary inquiry of the reported offense. You should usually conduct the inquiry informally. Your final report on the preliminary inquiry should consist of the following items:

1. Report and Disposition of Offense(s) (NAVPERS 1626/7)
2. Investigator's Report (fig. 2-3)
3. Statements or summaries of interviews with all witnesses; sworn statements, if possible (fig. 2-4)

4. Originals or copies of documentary evidence
5. If the accused waives all his or her rights, a signed sworn statement by the accused; or a summary of the interrogation of the accused, signed and sworn to by the accused; or both
6. Any additional comments you feel are necessary

### Objective

Your primary objective in conducting the preliminary inquiry is to collect all available evidence pertaining to the alleged offense(s). Your

INVESTIGATOR'S REPORT IN THE CASE OF _____				
1. Read paragraphs in MCM concerning offenses/charges				Yes: <input type="checkbox"/>
2. Witnesses interviewed (not the accused).				
(NAME)	(PHONE)	signed statement attached	summary of interview attached	
a. _____	_____	<input type="checkbox"/>	or	<input type="checkbox"/>
b. _____	_____	<input type="checkbox"/>	or	<input type="checkbox"/>
c. _____	_____	<input type="checkbox"/>	or	<input type="checkbox"/>
d. _____	_____	<input type="checkbox"/>	or	<input type="checkbox"/>
e. _____	_____	<input type="checkbox"/>	or	<input type="checkbox"/>
f. _____	_____	<input type="checkbox"/>	or	<input type="checkbox"/>
3. Accused's supervisor(s) interviewed				<input type="checkbox"/> or <input type="checkbox"/>
a. _____	_____	<input type="checkbox"/>	or	<input type="checkbox"/>
b. _____	_____	<input type="checkbox"/>	or	<input type="checkbox"/>
4. Documentary evidence				
	(ORIG)	(COPY)	(ATTACHED)	(LOCATION)
a. _____	<input type="checkbox"/>	or	<input type="checkbox"/>	<input type="checkbox"/> or _____
b. _____	<input type="checkbox"/>	or	<input type="checkbox"/>	<input type="checkbox"/> or _____
c. _____	<input type="checkbox"/>	or	<input type="checkbox"/>	<input type="checkbox"/> or _____
d. _____	<input type="checkbox"/>	or	<input type="checkbox"/>	<input type="checkbox"/> or _____
5. Real evidence				
(DESCRIPTION)	(NAME OF CUSTODIAN)	(CUSTODIAN'S PHONE)		
a. _____	_____	_____		
b. _____				
6. Permit the accused to inspect Report Chit.				
7. Accused initialed second page of charges (if any) N/A				Yes _____ No _____
8. Accused signed Acknowledgement line on NAVPERS 1626/7				Yes _____ No _____
9. Investigator signed witness line on NAVPERS 1626/7				Yes _____ No _____
10. Accused waived his rights.				Yes _____ No _____
11. Accused made statement (only when #10 is Yes), and				
a. <input type="checkbox"/> Accused's signed statement attached				
b. <input type="checkbox"/> Summary of interrogation attached.				

Figure 2-3.—Investigator's Report.

Your second objective is to collect information about the accused. That information will aid the commanding officer in making proper disposition

- The accused's currently assigned duties
- Evaluation of his or her performance
- The accused's attitudes and ability to get along with others
- Personal difficulties or hardships the accused is willing to discuss

Statements given by supervisors, peers, and the accused provide the best source of information about the accused.

Name \_\_\_\_\_ Rank/Rate \_\_\_\_\_ Social Security No \_\_\_\_\_  
Command \_\_\_\_\_ Division \_\_\_\_\_  
TAD from/to \_\_\_\_\_ until \_\_\_\_\_ Phone \_\_\_\_\_  
Whereabouts for next 30 days \_\_\_\_\_

I, \_\_\_\_\_, hereby make the following statement to \_\_\_\_\_, who has identified himself/herself as a preliminary inquiry officer for the Naval Justice School, Newport, Rhode Island

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

(use additional pages if necessary)

I swear (or affirm) that the information in the statement above and on the \_\_\_\_\_ attached page(s) is true to my knowledge or belief

(Witness' Signature) \_\_\_\_\_ (Date) \_\_\_\_\_ 19 \_\_\_\_ (Time) \_\_\_\_\_

Sworn to before me this date.

(Investigator's Signature) \_\_\_\_\_ (Date) \_\_\_\_\_ 19 \_\_\_\_ (Time) \_\_\_\_\_

2-5

## Interrogate Witnesses

You can obtain a significant amount of information from the witnesses. Start by interrogating the person who initiated the report and the people listed as witnesses. You may discover other persons having relevant information when questioning these people.

Don't begin the inquiry by interrogating the accused. The accused has the greatest motive for lying or distorting the truth—if the accused is guilty. Leave the interrogation of the accused until last. Even when the accused has admitted guilt, you should first collect all other evidence corroborating the confession of the accused.

Request that witnesses who have relevant information make a sworn statement. If you interview a witness by telephone, write a summary of the interview and certify it to be true.

Elicit all relevant information during your interview of a witness. One method is to start with a general survey question. Ask the witness to relate everything he or she knows about the case. Then follow-up with more specific questions. After speaking with the witness, help the witness write a statement that is thorough, relevant, orderly, and clear. The substance of the statement must consist of the witness's thoughts, knowledge, or beliefs about the accused. Limit your assistance to helping the witness express himself or herself accurately and effectively in writing.

(Date) _____		
FULL NAME (ACCUSED/SUSPECT) _____	SOCIAL SECURITY NUMBER _____	RACE/RANK _____
INTERVIEWER _____	SOCIAL SECURITY NUMBER _____	RACE/RANK _____
RIGHTS		
I certify and acknowledge by my signature and initials set forth below that, before the interviewer requested a statement from me, he/she warned me that		
(1) I am suspected of having committed the following offense(s) _____		
_____		
(2) I have the right to remain silent,-----Initial _____		
(3) Any statement I do make may be used as evidence against me in trial by court-martial,-----Initial _____		
(4) I have the right to consult with a lawyer prior to any questioning. This lawyer may be a civilian lawyer retained by me at my own expense, or, if I wish, Navy or Marine Corps authority will appoint a military lawyer to act as my counsel without cost to me, or both-----Initial _____		
(5) I have the right to have such retained civilian lawyer and/or appointed military lawyer present during this interview.-----Initial _____		
<u>WAIVER OF RIGHTS</u>		
I further certify and acknowledge that I have read the above statement of my rights and fully understand them,-----Initial _____ and that,		
(1) I expressly desire to waive my right to remain silent-----Initial _____		
(2) I expressly desire to make a statement-----Initial _____		
(3) I expressly do not desire to consult with either a civilian lawyer retained by me or a military lawyer appointed as my counsel without cost to me prior to any questioning-----Initial _____		
(4) I expressly do not desire to have such a lawyer present with me during this interview-----Initial _____		

Figure 2-5.—Suspect's Rights Acknowledgment/Statement (Front).

## Collecting Documentary Evidence

Collect documentary evidence such as Shore Patrol reports, log entries, watch bills, service record entries, local instructions, or organizational manuals. Attach the original or a certified copy of relevant documents to the investigator's report. Check to see if you, as investigator, have the authority to certify relevant documents. If you do, write on the documents the words *certified to be a true copy*, and sign your name.

## Collecting Real Evidence

Real evidence is a physical object, such as a knife used in an assault or a stolen camera in a theft case. Before seeking real evidence, become

familiar with the Military Rules of Evidence concerning searches and seizures. The *Manual for Courts-Martial, 1984* contains the Military Rules of Evidence. Take photographs of an object if it is too large to bring to NJP proceedings. Leave real evidence in the custody of a law enforcement agency unless otherwise directed; however, personally examine the evidence.

## Advise the Accused

Before questioning the accused, have the accused sign the acknowledgement line on the front of the report chit and initial any attached pages.

Use the Suspect's Rights Acknowledgment/Statement form (figs. 2-5 and 2-6) as a checklist

(5) This acknowledgment and waiver of rights is made freely and voluntarily by me, and without any promises or threats having been made to me or pressure or coercion of any kind having been used against me -----Initial

SIGNATURE (ACCUSED/SUSPECT)	TIME	DATE
SIGNATURE (INTERVIEWER)	TIME	DATE
SIGNATURE (WITNES)	TIME	DATE

The statement which appears on this page (and the following \_\_\_ page(s), all of which are signed by me), is made freely and voluntarily by me, and without any promises or threats having been made to me or pressure or coercion of any kind having been used against me

SIGNATURE (ACCUSED/SUSPECT)

-----

-----

-----

-----

-----

-----

-----

-----

-----

-----

-----

Figure 2-6.—Suspect's Rights Acknowledgment/Statement (Back).

to ensure you correctly advise the accused of his or her rights before asking any questions. When you first meet the accused, fill in this page as your first order of business. You may serve as your own witness that you advised the accused of his or her rights by signing this form; no one else is required.

### Interrogate the Accused

You may question the accused **ONLY IF HE OR SHE HAS KNOWINGLY AND INTELLIGENTLY WAIVED HIS OR HER STATUTORY RIGHTS**. If the accused makes the waiver, record it on the accused's statement. If the accused asked you if he or she should waive his or her rights, decline to answer or give advice. You are only authorized to advise the accused of his or her rights. Never advise the accused on legal matters. Let the accused obtain a lawyer if he or she so desires.

After the accused waives his or her rights, begin the questioning in a low-keyed manner. Permit the accused to give his or her own version of the incident. When the accused has finished presenting the facts, begin to probe with pointed questions. Confront the accused with inconsistencies in the story or contradictions with other evidence. Remember, a confession that is not voluntary cannot be used as evidence. Any confession that is obtained by coercion, unlawful influence, or unlawful inducement is not voluntary.

The following are some examples of coercion, unlawful influence, or an unlawful inducement:

- Infliction of bodily harm, including questioning accompanied by deprivation of the necessities of life, such as food, sleep, or adequate clothing
- Threat of bodily harm
- Imposition or threats of confinement, or deprivation of privileges or necessities
- Promises of immunity or clemency as to any offense committed by the accused
- Promises of reward or benefit, or threats of disadvantage likely to induce the accused to make the confession or statement

If the accused desires to make a written statement, make sure the accused has acknowledged and waived all of his or her rights. You may help

the accused draft the statement, but you must be careful not to put words in the accused's mouth or trick the accused into saying something he or she does not intend to say. If you type the statement, permit the accused to read it over carefully and make any necessary changes. The accused should initial any changes, and you should witness them in writing.

Oral statements are admissible into evidence against the accused. If the accused does not wish to put his or her statements in writing, attach a certified summary of the interrogation to your report. If the accused makes a written statement but omits some of the statements made orally, add a certified summary of items omitted from the accused's statement.

### U.S. NAVY REGULATIONS

The 12 chapters of *Navy Regulations* (*Navy Regs*) describe the authority and responsibilities of the offices within the Department of the Navy. They also describe the regulations concerning the procedures, authority, and command of those offices. *Navy Regs* also covers honors and ceremonies, the rights and responsibilities of persons in the Department of the Navy, and the purpose and force of these regulations.

Each ship and station has complete copies of *Navy Regs* available to all personnel. Also available is an excellent nonresident training course entitled *Navy Regulations*, NAVEDTRA 13082, which you are encouraged to complete. Your educational services officer (ESO) can help you order this course.

The following sections list articles (with a condensation of their text, if appropriate) from *United States Navy Regulations, 1990* that senior enlisted personnel in the Navy should know. This listing serves only as a starting place for you to learn about Navy regulations. You are responsible for learning and obeying all regulations. These regulations are not punitive articles, but laws under which the Navy operates. Many exist for your own protection. Failure to obey any regulation subjects the offender to charges under article 92, *UCMJ* (Failure to obey order or regulation).

When the article itself is self-explanatory, the article is presented in block quotation exactly as stated in *Navy Regs*; no further explanation is given. Articles that are lengthy and, in some cases, difficult to interpret are paraphrased to give you a brief overview of the contents of the article.

## **STATUTORY AUTHORITY FOR UNITED STATES NAVY REGULATIONS**

Chapter 1 contains the 0100 article series. This chapter discusses the origin of *Navy Regs*, the statutory authority, issuance of other directives, and maintenance of Navy regulations.

### **0103. Purpose and Effect of United States Navy Regulations**

*United States Navy Regulations* is the principle regulatory document of the Department of the Navy, endowed with the sanction of law, as to duty, authority, distinctions and relationships of various commands, officials and individuals. Other directives issued within the Department of the Navy shall not conflict with, alter or amend any provision of *Navy Regulations*.

### **0107. Maintenance of Navy Regulations**

The Chief of Naval Operations is responsible for maintaining *Navy Regulations*. Whenever any person in the Navy believes a change to *Navy Regulations* is needed, that person should forward a draft of the change through the chain of command along with a statement of the reasons for the change. The Secretary of the Navy must approve all additions, changes or deletions to *Navy Regulations*.

## **THE DEPARTMENT OF THE NAVY**

Chapter 2 covers the 0200 article series. This chapter discusses the origin and authority of the Department of the Navy and briefly covers its mission and composition.

## **THE SECRETARY OF THE NAVY**

Chapter 3 covers the 0300 article series. This chapter is divided into two sections and two subsections. Section 1 outlines the responsibilities of the Secretary of the Navy. Section 2 describes the composition, responsibility, and authority of the Office of the Secretary of the Navy. Section 2A outlines the responsibilities of civilian executive assistants within the Office of the

Secretary of the Navy. Section 2B outlines the responsibilities of staff assistants within the Department of the Navy.

## **THE CHIEF OF NAVAL OPERATIONS**

Chapter 4 contains the 0400 article series. This chapter describes the responsibilities of the Chief of Naval Operations.

## **THE COMMANDANT OF THE MARINE CORPS**

Chapter 5 covers the 0500 article series. This chapter outlines the responsibilities of the Commandant of the Marine Corps.

## **THE UNITED STATES COAST GUARD (WHEN OPERATING AS A SERVICE IN THE NAVY)**

Chapter 6 covers the 0600 article series. The United States Coast Guard is normally a component of the Department of Transportation; however, upon declaration of war or when directed by the President, the Coast Guard operates as a component within the Department of the Navy. This chapter assigns the duties of the Commandant of the Coast Guard and outlines the duties and responsibilities of the office of the Commandant.

## **COMMANDERS IN CHIEF AND OTHER COMMANDERS**

Chapter 7 covers the 0700 article series. This chapter is divided into three sections. Section 1 describes the titles and duties of commanders. Section 2 explains the organization of a staff and the authority and responsibility of the staff officers. Section 3 outlines the administration and discipline of the staff of a commander or a separate and detached command.

## **THE COMMANDING OFFICER**

Chapter 8 contains the 0800 article series. This chapter is divided into three sections. Section 1 describes the general authority and responsibilities of the commanding officer. Section 2 outlines the additional responsibilities of commanding officers afloat. Section 3, divided into two subsections, covers special circumstances. Subsection A concerns ships in naval stations and shipyards, and subsection B contains regulations governing prospective commanding officers.

## 0801. Applicability

The provisions of this chapter apply to officers in charge (including petty officers when so detailed) and those persons standing the command duty.

## 0818. Publishing and Posting Orders and Regulations

1. In accordance with Article 137 of the *Uniform Code of Military Justice*, the articles specifically enumerated therein shall be carefully explained to each enlisted person:

a. At the time of entrance on active duty or within six days thereafter,  
b. Again, after completion of six months active duty; and  
c. Again, upon the occasion of each reenlistment.

2. A text of the articles specifically enumerated in Article 137 of the *Uniform Code of Military Justice* shall be posted in a conspicuous place or places, readily accessible to all personnel of the command.

3. Instructions concerning the *Uniform Code of Military Justice* and appropriate articles of *Navy Regulations* shall be included in the training and educational program of the command.

4. Such general orders, orders from higher authority, and other matters which the commanding officer considers of interest to the personnel or profitable for them to know shall be published to the command as soon as practicable. Such matters shall also be posted, in whole or in part, in a conspicuous place or places readily accessible to personnel of the command.

5. Upon the request of any person on active duty in the armed services, the following publications shall be made available for that person's personal examination:

- a. A complete text of the *Uniform Code of Military Justice*,
- b. *Manual for Courts-Martial*,
- c. *Navy Regulations*,
- d. *Manual of the Judge Advocate General*,
- e. *Marine Corps Manual* (for Marine Corps personnel),

f. *Naval Military Personnel Manual* (for Navy personnel) or *Marine Corps Personnel Manual* (for Marine Corps personnel).

## THE SENIOR OFFICER PRESENT

Chapter 9 covers the 0900 article series. The chapter deals with the duties of both the senior officer present afloat and ashore. It defines eligibility for command at sea, authority and responsibility, and authority within separate commands within the command. It discusses relations with diplomatic and consular representatives and international treaties and laws. It outlines the actions of U.S. naval forces within a vicinity of other armed forces. The remainder of the chapter deals with the relationships of the senior officer present with foreigners; readiness and safety of forces; and general policies such as shore patrol, leave and liberty, assistance to ships, aircraft and persons in distress, and admiralty claims.

## PRECEDENCE, AUTHORITY AND COMMAND

Chapter 10 contains the 1000 article series. This chapter is divided into four sections. Section 1 describes the precedence of officers and defines officers as line officers, staff officers, and warrant officers. Section 2 explains the authority of officers in the Navy. Section 3 describes the detailing of officers and enlisted persons. Section 4 contains the regulations pertaining to succession of command.

## 1020. Exercise of Authority

All persons in the naval service on active duty, those on the retired list with pay, and transferred members of the Fleet Reserve and the Fleet Marine Corps Reserve are at all times subject to naval authority. While on active duty they may exercise authority over all persons who are subordinate to them. However, they may not exercise that authority if on leave of absence, except as noted in this article; on the sick list; taken into custody; under arrest; suspended from duty; in confinement; or otherwise incapable of discharging their duties.

## **1021. Authority Over Subordinates**

This article gives officers the authority necessary to perform their duties.

## **1022. Delegation of Authority**

The delegation of authority and issuance of orders and instructions by a person in the naval service shall not relieve such person from any responsibility imposed upon him or her. He or she shall ensure that the delegated authority is properly exercised and that his or her orders and instructions are properly executed.

## **1023. Abuse of Authority**

Persons in authority are forbidden to injure their subordinates by tyrannical or capricious conduct, or by abusive language.

## **1024. Contradictory and Conflicting Orders**

An enlisted person who receives an order that annuls, suspends, or modifies one received from another superior will immediately relate that fact to the superior from whom the last order was received. If, after receiving that information, the superior from whom the last order was received should insist upon the execution of that order, the person must obey it. The person receiving and executing such order will report the circumstances as soon as practicable to the superior from whom the original order was received.

## **1033. Authority in a Boat**

This article provides the senior line officer eligible for command at sea the authority over all persons embarked in a boat. It also delegates the officer responsibility for the safety and management of the boat.

## **1037. Authority of Warrant Officers, Noncommissioned Officers, and Petty Officers**

Chief warrant officers, warrant officers, noncommissioned officers and petty officers shall have, under their superiors, all necessary authority for the proper performance of their duties, and they shall be obeyed accordingly.

## **1038. Authority of a Sentry**

A sentry, within the limits stated in his or her orders, has authority over all persons on his or her post.

## **1039. Authority of Juniors To Issue Orders to Seniors**

No member of the armed forces is authorized by virtue of his or her rank alone to give any order or grant any privilege, permission, or liberty to any officer senior to him or her. A member is not required to receive such order, privilege, permission, or liberty from a junior, unless such junior is at the time:

- a. in command of the ship or other command to which the senior is attached
- b. in command or direction of the military expedition or duty on which such senior is serving
- c. an executive officer executing an order of the commanding officer

## **GENERAL REGULATIONS**

Chapter 11 contains the 1100 article series. This chapter is divided into five sections. Section 1 covers the topic of administration of discipline. Section 2 outlines the standards of conduct. Section 3 contains regulations governing official records. Section 4 explains the general duties of individuals within the Navy. Section 5 defines the rights and restrictions of persons in the naval service.

## **1111. Pecuniary Dealings With Enlisted Persons**

No officer should have any dealings involving money with enlisted persons except as may be required in the performance of the officer's duties or as involved in the sale of personal property. An officer may be designated by superior authority to accept deposits from enlisted personnel for the purpose of safeguarding these funds under emergency or operational situations.

## **1112. Lending Money and Engaging in a Trade or Business**

Naval personnel are not permitted to lend money to another member of the armed services at an interest rate, for the period of the loan,

that exceeds 18 percent simple interest per year. Personnel may not act as a salesperson or an agent or engage in a business on board without permission of the commanding officer.

#### **1115. Report of Fraud**

Any suspicions of fraud, collusion, or improper conduct in matters concerning supplies and repairs should be reported to proper authority.

#### **1125. Inspection of the Record of a Person in the Naval Service**

A person's naval record is maintained by the Chief of Naval Personnel or the Commandant of the Marine Corps. The record must be available for inspection by that person or an authorized agent designated in writing by that person.

#### **1130. Officer's Duties Relative to Laws, Orders and Regulations**

All officers in the naval service will acquaint themselves with and obey the laws, regulations, and orders relating to the Department of the Navy. They will also, as far as their authority extends, enforce these laws, regulations, and orders. They should faithfully and truthfully discharge the duties of their office to the best of their ability in conformance with existing orders and regulations and their solemn profession of the oath of office. In the absence of instructions, they will act in conformity with the policies and customs of the service to protect the public interest.

#### **1132. Compliance With Lawful Orders**

All persons in the naval service are required to obey readily and strictly, and to execute promptly, the lawful orders of their superiors.

#### **1133. Language Reflecting on a Superior**

Do not use language that diminishes the confidence and respect due superior officers.

#### **1134. Exchange of Duty**

An assigned duty may not be changed with another person (such as trading watches) without permission from proper authority.

#### **1137. Obligation To Report Offenses**

All offenses observed should be reported to the proper authority.

#### **1138. Responsibilities Concerning Marijuana, Narcotics, and Other Controlled Substances**

Personnel may not bring on board any naval activity, or have in their possession at any time, marijuana, narcotics, or any controlled substances.

#### **1143. Report of a Communicable Disease**

Personnel should report any suspicions of communicable disease to their medical representative.

#### **1144. Immunization**

Personnel must take the immunizations prescribed for them as scheduled.

#### **1145. Service Examinations**

No persons in the Navy, without proper authority, should have or attempt to have in their possession, any examination papers, any part or copy thereof, or any examination answer sheets. They also will not obtain, sell, publish, give, purchase, receive, or reproduce any of these examination products.

#### **1150. Redress of Wrong Committed by a Superior**

A person who believes a superior exercises authority in an unjust or cruel manner or is guilty of misconduct should submit a complaint to his or her commanding officer.

#### **1151. Direct Communication With the Commanding Officer**

The right of any person in the naval service to communicate with the commanding officer in a proper manner, and at a proper time and place, shall not be denied or restricted.

#### **1154. Communications to the Congress**

Personnel may not, in their official capacity, apply to Congress for congressional action of any kind or provide information requested by Congress. The only exception to this regulation is such communication as authorized by the Secretary of the Navy or as provided by law.

#### **1155. Dealings With Members of Congress**

All persons may write to their congressmen on any subject as long as they do not violate security regulations or the law.

#### **1156. Forwarding Individual Requests**

Requests from persons in the naval service shall be acted upon promptly. When addressed to higher authority, requests shall be forwarded without delay. The reason should be stated when a request is not approved or recommended.

#### **1157. Leave and Liberty**

Leave and liberty will be granted to the maximum extent practicable.

#### **1158. Quality and Quantity of Rations**

Meals served in the general mess will be sampled regularly by an officer detailed by the commanding officer. If the officer finds the quality or quantity of the food unsatisfactory or any member of the mess objects to the quality or quantity of the food, the officer will notify the commanding officer.

#### **1159. Possession of Weapons**

Personnel may not have any weapons or explosives in their possession without proper authority.

#### **1160. Possession of Government Property**

Personnel will not possess, without permission, any property of the United States except what is needed in the performance of their duty.

#### **1162. Alcoholic Beverages**

The personal possession of any alcoholic beverages aboard any ship is prohibited. The transportation aboard ship of alcoholic beverages for personal use ashore is authorized subject to the discretion of, and under regulations established by, the commanding officer.

### **FLAGS, PENNANTS, HONORS, CEREMONIES, AND CUSTOMS**

Chapter 12 covers the 1200 article series. This chapter is divided into 10 sections and a listing of tables pertinent to the 1200 article series. Section 1 contains general regulations governing honors. Section 2 outlines honors to national anthems and national ensigns. Section 3 explains hand salutes and other marks of respect. Section 4 pertains to gun salutes. Section 5 covers passing honors. Section 6 contains regulations that govern official visits and calls. Section 7 defines formal occasions other than official visits. Section 8 explains the display of flags and pennants. Section 9 defines special ceremonies, anniversaries, and solemnities. Section 10 addresses deaths and funerals.

### **STANDARD ORGANIZATION AND REGULATIONS OF THE U.S. NAVY**

*The Standard Organization and Regulations of the U.S. Navy (SORN)*, OPNAVINST 3120.32B, provides regulations and guidance governing the conduct of all members of the Navy. This publication specifies duties and responsibilities of personnel within a unit organization—from the commanding officer down to the messenger of the watch.

Failure to comply with the provisions of the regulatory material in chapter 5 of the *SORN* is punishable in accordance with the *Uniform Code of Military Justice (UCMJ)*. Regulatory articles are printed on large posters, which are posted in conspicuous locations aboard naval units.

When the article itself is self-explanatory, the article is presented in block quotation exactly as stated in the *SORN*; no further explanation is given. Articles that are lengthy and, in some cases, difficult to interpret are paraphrased to give you a brief overview of the contents of the article.

## UNIT ADMINISTRATION

Chapter 1 covers the administration of a unit and the limits of authority of personnel in management positions. It also discusses organizational theory and defines terms such as *unity of command*, *span of control*, and *leadership*.

### 100.1 Relationship to Other Guidance

The *SORN* issues regulations and standard organizational requirements applicable to the administration of naval units. Type commanders or higher authority issues additional requirements to supplement the Navywide guidance provided by the *SORN*. Guidance is intended to assist commanding officers in administering their unit in the best possible manner.

### 142.2 Policy Guidance

The guidance provided by the *SORN* helps the Navy set policies consistently. A complete policy statement concerning the following items is beyond the scope of this text. You should consult the *SORN* for specific details. The following is a brief look at Navy policies covered by the *SORN*; consult the *SORN* for specific details about each policy:

#### EXTRA MILITARY INSTRUCTION (EMI)—

This is instruction intended to correct a deficiency of a person in a phase of military duty. General guidelines are as follows:

- EMI will not normally be assigned for more than 2 hours per day.

- EMI may be assigned at a reasonable time outside of normal working hours.
- EMI will not be conducted over a period that is longer than necessary to correct the performance deficiency.
- EMI should not be conducted on a members sabbath.
- EMI will not be used as a method of depriving normal liberty. Normal liberty may commence upon completion of EMI.

The authority to assign EMI rests with the commanding officer. Normally, you may assign EMI during working hours if the commanding officer delegates the authority. However, the commanding officer usually chooses not to delegate the authority to assign EMI after working hours; that limits your actions to recommending EMI. Refer to the *SORN* and your command regulations regarding assignment of EMI.

**WITHHOLDING OF PRIVILEGES**—Temporary withholding of privileges is authorized as an administrative measure to correct minor infractions of military regulations or performance deficiencies when punitive action is deemed inappropriate. Privileges that may be temporarily withheld include special liberty, exchange of duty, special pay, special command programs, bases or ship libraries and movies, command parking, and special services events.

**PRIVILEGES CAN ONLY BE TEMPORARILY WITHHELD BY THE PERSON WITH THE AUTHORITY TO GRANT THE PRIVILEGE**—Your action should normally be limited to a recommendation to the chain of command to temporarily withhold a privilege. For further guidance, consult the *SORN* and local regulations concerning withholding of privileges.

**EXTENSION OF WORKING HOURS**—Deprivation of normal liberty as punishment except as specifically authorized by the *UCMJ* is illegal. However, lawful deprivation of normal liberty is authorized in certain situations such as pretrial restraint or in a foreign country when such action is deemed necessary. Working hours may be extended for official functions, accomplishment of essential work, or the achievement of the currently required level of operational readiness.

You are expected to keep your superiors informed when planning to direct your subordinates to work beyond normal working hours.

**CONTROL THROUGH RECOGNITION OF PERFORMANCE**—You have a basic responsibility to recognize initiative and exemplary performance of your subordinates. Give public recognition when appropriate. Make the extra effort to provide the following forms of recognition:

- Award letters of commendation and appreciation or recommend such for signature of higher authority.
- Initiate recommendation for higher awards.
- Initiate recommendations for sailor of the month, quarter, year, force, fleet, and Navy.
- Make recommendations for reenlistment, assignment to training schools, and education or advancement programs; document exceptional performance in enlisted evaluations.

## STANDARD UNIT ORGANIZATION

Chapter 2 covers the process and basis for a standard unit organization. It includes requirements for shipboard divisions, aviation units, and concepts of organization. Refer to the following articles of chapter 2 for an in-depth explanation:

- 230 Promoting understanding of the organization
- 231 Organizational charts
- 232 Functional guides

## THE UNIT ORGANIZATION

Chapter 3 describes the responsibilities of the various billets within an organization. Refer to the following articles of chapter 3 for an in-depth explanation:

- 351. Department duty officer
- 364. Division leading chief petty officer (LCPO)

- 365. Division damage control petty officer
- 366. Work center supervisor (other than aviation units)

## WATCH ORGANIZATION

Chapter 4 describes the responsibilities of the watches required for safe and proper operation of a unit. Refer to the following articles of chapter 4 for further information:

- 403. General duties of watch officers and watch standers
- 404. Watchstanding principles
- 405. Orders to sentries
- 406. Circumstances under which deadly force may be used by security force personnel
- 414. Relieving the watch
- 420. The deck and engineering logs
- 421. The deck log
- 441.3 Officer of the deck in-port
- 441.7 Department duty officer
- 442. Quarterdeck watches
- 443. Security watches
- 444. Additional watches

## REGULATIONS

Chapter 5 is an extension of *Navy Regs* that provides greater coverage on general subjects required for the smooth operation of a unit.

### 510.5 Armed Forces Identification Cards and Leave Papers

No person without proper authority shall:

- a. Have in his/her possession more than one properly validated Armed Forces Identification Card
- b. Depart on liberty without his/her own properly validated identification card; or, in the case of leave, without his/her own properly validated leave papers and identification card.

c. Have in his/her possession a false or unauthorized identification card; or a mutilated, erased, altered, or not properly validated identification card; or an identification card bearing false or inaccurate information concerning a name, grade, service number, or date of birth.

d. Return from leave without depositing his/her leave papers with the proper authority. Any person returning without an identification card shall report the loss to the OOD in person.

### **510.7 Berthing**

No person will:

a. Sleep in any spaces or use any bunk or berth other than that to which assigned, except as authorized by proper authority.

b. Sleep or lie on any bunk or berth while clothed in dungarees or working clothes or while wearing shoes.

c. Smoke while sitting or lying on any bunk or berth, or smoke in any berthing space during the night hours between taps and reveille.

d. Remove any mattress from any bunk or place of stowage or place such mattress on the deck or in any place other than a bunk, except as authorized by proper authority.

e. Create a disturbance or turn on any white light in any berthing or living space during the night hours between taps and reveille, except as required to perform assigned duties.

f. Fail to turn out of his/her bunk at reveille, except when he/she is on the sick list or authorized to late bunk

g. Be authorized late bunk privileges unless he/she has had a midwatch or made a boat trip as a crew member after 2200 the previous day or is specifically authorized late bunk privileges by the Executive Officer or Command Duty Officer. All late bunk sleepers will turn out at 0700.

### **510.9 Card Games and Gambling**

No person will:

a. Gamble for money with playing cards, dice, or other apparatus or methods on board naval units.

b. Engage in any card games or other games during prescribed working hours or during the hours between taps and reveille, or during divine services.

### **510.10 Civilian Clothing**

You may wear civilian clothing based on the following regulations unless the privilege has been suspended.

● You are permitted to wear civilian clothing when leaving or returning to a naval unit, awaiting transportation to leave the unit, while on authorized leave of absence, liberty, or in any off-duty status on shore.

● Your dress and personal appearance must be appropriate for the occasion and not bring discredit on the naval service. Uniform items may not be worn with civilian clothing except as provided in *U.S. Navy Uniform Regulations*.

### **510.18 Emergency Equipment**

NO PERSON shall use emergency equipment for any purpose other than that for which it is intended. Emergency equipment includes items such as battle lanterns, EMERGENCY FIRST AID boxes, shoring, wrenches, life rings, equipment in life rafts and boats, portable fire pumps, fire hoses, and fuel for emergency machinery.

### **510.21 Government Property**

No person shall:

a. Conceal or fail to report to proper authority the loss, removal, destruction, or damage of Government property entrusted to his/her care or custody.

b. Remove without proper authority from its regular place of stowage or location, for any purpose whatever, any article of Government property, including hull and damage control fittings, first aid equipment, life saving and emergency equipment, and stores and foodstuffs.

c. Have in his/her possession any article of Government property except as may be necessary for the performance of his/her duty or as may be authorized by proper authority.

## 510.22 Grooming and Personal Appearance

It is the responsibility of officers in command to ensure their personnel are neat and well groomed at all times. (See *U.S. Navy Uniform Regulations*, NAVPERS 15665G, for current standards.)

## 510.24 Hitchhiking

No naval personnel will, on a public road, street, or highway, endeavor by words, gestures, or otherwise to beg, solicit, or hitchhike a ride in or on any motor vehicle. Accepting rides at established service personnel pickup stations is authorized.

## 510.25 Indebtedness

Since indebtedness brings a discredit to the naval service, debts shall not be incurred when there is no reasonable expectation of repaying them. The Commanding Officer's interest in the matter of indebtedness of personnel attached to a naval unit will be directed principally to the establishment of facts so that corrective or disciplinary measures may be taken

## 510.32 Mess Gear

The removal of mess gear from the mess decks is prohibited. The senior petty officer in charge of the compartment in which mess gear is found will ensure its immediate return to the mess decks.

## 510.37 Outfits, Uniforms, and Clothing

No person will

- a. Wear frayed, torn, dirty, or otherwise mutilated clothing
- b. Wear any article of clothing which is not prescribed as a part of the uniform of the day.
- c. Wear any article of a naval uniform in a manner that would bring discredit to the naval service.
- d. If that person is enlisted, have any article of uniform clothing which is not legibly marked with his/her name and/or service number; or any article of clothing or bedding marked with the name and/or

service number of another person which has not been marked "DC" by the Chief Master-At-Arms and recorded in the DC clothing record book.

e. Sell, barter, exchange, lend, or give away clothing, arms, military outfits, or equipment furnished by the government. No names, designs, or marks except the number prescribed for official identification will be placed on any foul weather clothing or other equipment furnished by the government.

f. Wear or have exposed upon the uniform, articles such as watch chains, fobs, pins, jewelry, handkerchiefs, combs, cigars, cigarettes, pipes, or similar items, except that tie clasp, cuff links, shirt studs, and earrings will be worn as prescribed in *Uniform Regulations*. Wearing of wrist watches, identification bracelets, and inconspicuous rings is permitted. No eccentricities in dress will be permitted.

## 510.40 Personal Effects

The command and individuals have a shared responsibility to safeguard the personal property of members of the unit.

a. No person will maintain personal belongings or other articles in any locker closet, peacoat locker, or space other than that regularly assigned to him/her or authorized by proper authority to use.

b. Each person is responsible for obtaining a lock and keeping his/her locker locked at all times. Any evidence of tampering with locks or unauthorized entry into a personal locker will be reported to the Chief Master-At-Arms immediately.

c. When any enlisted person on board a naval unit is declared a deserter or becomes mentally or physically incapacitated to the extent that he/she can no longer care for his/her personal effects, they will be collected, inventoried, and sealed by a division petty officer in the presence of the division officer and a master-at-arms and delivered to the Chief Master-At-Arms for safekeeping and disposition in accordance with current instructions. Only personnel designated will handle or disturb in any way the personal effects of another person.

d. The personal effects of an absent or incapacitated officer will be inventoried and packed by two officers designated by the Executive Officer and will be delivered to the supply office for safekeeping and disposition per current instructions.

#### **510.44 Photographic Equipment**

No person shall:

a. Possess or introduce on board a naval unit any camera or other photographic equipment capable of exposing a photographic plate or film without permission of the Commanding Officer or his authorized representative.

b. Make photographs of a naval unit or its equipment, or of objects from the unit, without permission of the Commanding Officer, and then only of the objects for which permission was specifically given.

c. While on watch or duty as a sentry or member of a patrol, knowingly permit the introduction of any camera or photographic equipment on board a naval unit unless such equipment is authorized by the Commanding Officer or authorized representative.

#### **510.45 Plan of the Day**

A plan of the day will be published daily by the Executive Officer or an authorized representative and will issue such orders and directives as the Executive Officer may issue. When the Executive Officer is absent from the unit it will be issued by the Command Duty Officer.

a. The Plan of the Day will be posted on all department and division bulletin boards.

b. All persons will read the Plan of the Day each day. They are responsible for obeying applicable orders contained therein. In port, the Plan of the Day will be read at quarters.

#### **510.46 Profane Language**

No person will use profane, obscene, or vulgar words or gestures on board a naval unit.

#### **Additional Regulatory Articles of Interest**

The following is a list of regulatory articles you should be familiar with:

510.47 Refuse, rubbish, trash, garbage, hazardous waste, oils, and oily waste disposal

510.48 Removal of equipment from ship

510.52 Safe combinations

510.54 Search and seizure

510.59 Smartness

510.61 Special clothing

510.68 Unauthorized articles

#### **UNIT BILLS**

Chapter 6 provides the guidelines for establishing administrative, operational, emergency, and special unit bills.

#### **SAFETY**

Chapter 7 provides for a safety program and covers the internal reporting of mishaps and hazards.

#### **TRAINING**

Chapter 8 establishes the elements and procedures for an effective training program

#### **SHIP MAINTENANCE AND MODERNIZATION**

Chapter 9 explains the Ship Maintenance and Modernization program aimed at providing the maximum operational availability to fleet commanders.

#### **UNIT DIRECTIVES SYSTEM**

Chapter 10 sets forth and explains the procedures and purpose of the unit directives system the Navy uses to communicate plans and policies throughout the Navy.

## STATUS OF FORCES AGREEMENTS

Many persons are under the impression that because they are attached to a ship visiting a foreign port, they are immune from jurisdiction of the local government. That is true as long as they remain aboard or go ashore only on official business. When they go ashore on liberty, however, they are subject to the jurisdiction of the foreign sovereign for any infractions of the law, whether criminal or civil. The Department of Defense protects your rights as much as possible if you are brought to criminal trial by foreign courts. To be allowed to protect your rights, the United States entered into agreements with several of our allied countries. The agreements are called the Status of Forces Agreements (SOFAs).

A Status of Forces Agreement contains a complex package of treaties, protocol, and executive agreements between the United States and the individual country involved. It defines the rights and duties of U.S. service personnel, civilian components, and their dependents while they are stationed in that foreign country.

The agreements are by no means identical in all countries. To a large measure, the differences in agreements resulted from the contrasting political realities that faced the negotiators of different countries

### PURPOSE OF SOFA

The main purpose of SOFAs is to clearly define the status of one country's military personnel stationed in the territory of another. The SOFAs say, in part, that the country we are visiting will give up some jurisdiction to the visiting country in some criminal and civil cases. Some topics covered by the Status of Forces Agreements are as follows:

- Freedom of troop movements within the host country
- Passport requirements
- Criminal jurisdiction
- Taxes
- Imposition of customs duties
- Regulations covering driver's license
- Exchange privileges

The development of a collective defense in peacetime requires that forces of various countries be stationed in the territory of other treaty countries. Those forces form an integrated force for the defense of those countries involved. The forces must be free to move from one country to another under the demands of strategy. Therefore, uniformity of arrangements and procedures governing the status of such forces in countries other than their own and their relationship to the civilian authorities is essential. The Status of Forces Agreements, accordingly, try to regulate that relationship in two ways. First, they guarantee the armed forces adequate legal protection without infringing on the authority of the military command. Second, they fully recognize the peacetime rights and responsibilities of the civilian authorities in the host countries.

The United States must receive consent from the host country to station troops on that foreign soil. We must also agree to the conditions under which our troops may remain.

The original intent of the Status of Forces Agreements by the United States was to get the most favorable conditions from the host country for our own forces.

The agreements apply to personnel belonging to the land, sea, and air armed forces, as well as civilian personnel accompanying an armed force. Article II of the NATO Status of Forces Agreement sets forth the basic principle to be observed by any force in a country other than its own:

It is the duty of a force and its civilian component and the members thereof as well as their dependents to respect the law of the receiving State, and to abstain from any activity inconsistent with the spirit of the present Agreement, and in particular, from any political activity in the receiving State. It is also the duty of the sending State to take necessary measures to that end.

### DEVELOPMENT OF SOFA

Why does the United States station large contingents of forces in foreign countries, and why does the status of these forces have to be defined by agreements?

The United States has accepted the fact that the only true security available in this modern world is collective security. Congress has demonstrated time and again its recognition of this proposition. We have entered into alliances

with many countries throughout the world, not just to protect other nations, but to protect ourselves. Our NATO allies have raised sizable military forces. They are producing military equipment and supplies in significant quantities. They provide many important ports and bases for common defense. They are supplying more military power to supplement and reinforce American defense efforts than we can find anywhere else in the world. NATO represents our first line of defense; the degree of its effectiveness has a tremendous impact upon the dependability of our own national defense system.

As part of our contribution to the NATO partnership, we have stationed a large number of United States military forces in Europe. While those forces are a minority of the total, their presence is indispensable to NATO. In political and psychological terms, they represent a body of trained and skilled persons for which no substitution from European sources is practical. They operate ports and air bases and other technical facilities that are vital to effective defense in modern warfare. Our allies want these troops to stay in Europe. We recognize the need to have them there. They are part of an overall pattern of defense that could not be disrupted without injury to the entire structure.

The important point for us to remember is that American troops are not in Europe as a favor to our allies. They are there because we know we can get more total protection by combining our strength with that of other nations than by standing alone. They are there because we want to prevent war altogether—to stop it before it starts. If war comes despite our best efforts to prevent it, those military forces are in the place where they can do the most good—where they can help to halt an enemy attack and to retaliate with immediate effect. No credit is given today to the idea that American armed forces can best protect American citizens by staying at home and waiting for an enemy to strike the United States.

## **JURISDICTIONAL ARRANGEMENTS**

In peacetime, before 1939, many troops were stationed in colonies and territories of their own countries, but military forces were not stationed in sovereign foreign countries on a large scale.

During World War II, unprecedented numbers of military persons were stationed in foreign countries, particularly those of the Western powers; but jurisdiction over their alleged criminal offenses seemed relatively unimportant

to hard-pressed nations. For example, when the fate of Britain was at stake, England was in no position to argue over criminal jurisdiction; and when a sending state, such as the United States, insisted on exclusive jurisdiction over all criminal offenses of its forces and accompanying civilians, Britain quickly agreed. The same has been true in other countries.

After the war, large numbers of United States military forces remained in foreign countries. At first, they remained as occupying forces. Later, with the permission of the foreign governments, they remained while these countries recovered, economically and politically, from the aftereffects of the war. Once these countries regained their independence and sovereignty, the United States no longer could claim it was entitled to exclusive jurisdiction over the members of our own armed forces.

Today, a basic principle of international law is that a country has a right to try all offenders for crimes committed within its territory. There are a few exceptions to that rule, the best known one being the immunity of diplomatic personnel from the jurisdiction of the host country. Some other exceptions are based on special treaties and agreements.

We object to trial of United States personnel in foreign courts. We feel that a member of our forces, tried in a foreign court under a different legal system and in a language he or she may not understand, might not receive a fair trial.

The purpose of the Status of Forces Agreements is not to grant jurisdiction to foreign courts over cases not normally under their jurisdiction. On the contrary, in some cases the objective of the agreement is to gain the same right of jurisdiction as the foreign court. This equal right of jurisdiction is called concurrent jurisdiction. In other cases, the objective of the agreement is to acquire waiver of jurisdiction by the foreign court.

Most countries generally yield jurisdiction to our military courts because of the Status of Forces Agreements. Therefore, we cannot object too strongly to the trial of those Americans who have committed offenses which that country believes should be under their jurisdiction. We cannot expect to gain concessions to criminal jurisdiction within a foreign country nor to obtain guarantees beyond those available to the citizens of that country.

Military commanders of overseas commands have reported that the jurisdictional arrangements in the countries under their responsibility have

worked well in practice. They have had no adverse effect upon the military mission of the armed forces or the morale and discipline of its members.

## **PUNISHMENTS IMPOSED**

When we hear the term *Status of Forces Agreements*, many of us think of the trial of our military personnel by foreign courts for crimes committed overseas. That association of thought is natural. Criminal jurisdiction is one of the most important aspects of the Status of Forces Agreements, and certainly the one that has always received the most publicity. Each publicized report of an American service member being tried for a serious crime by a foreign court brings public outcry from Americans. Most Americans believe the offender should be tried by United States military authorities.

Comparisons have shown that normally a sentence imposed by a foreign court has been extremely lenient. There have been no instances of cruel or unusual punishment. If you consider the large number of United States personnel stationed overseas and the small number of persons confined in foreign jails at any one time, you can see that the number confined is minimal. In all but the most serious offenses, confinement is suspended and the offender is returned to the United States for reassignment or discharge.

## **CONFINEMENT AND CUSTODY**

Equally lenient has been the attitude of the foreign governments with regard to confinement and custody. Most SOFAs provide that the United States military authorities may retain custody of an accused military member until all judicial proceedings, including the appeal, have been completed. If a person is eventually sentenced to confinement in a foreign prison, American authorities are permitted frequent visits to ensure the person is being well treated. In addition, the person is allowed to receive health-benefitting items, items of comfort, and food items considered a necessary part of an American's diet.

## **RIGHTS OF SERVICE MEMBERS**

The Department of Defense protects to the maximum extent possible the rights of American personnel who may be subject to trial by foreign courts and imprisonment in foreign prisons. One of the most significant safeguards afforded a military member is the right of the United States

to have an official observer (legal representative) at the trial. (The legal representative's duty is to determine whether the accused military member received all the rights guaranteed by the Status of Forces Agreement.) The legal representative also determines if the member received all other rights of due process of law that the person would have had if tried in a U.S. state court.

A military member tried in a foreign court has one significant advantage over fellow military members facing trial in the United States. Congress has passed legislation that allows the armed services to pay attorney fees and court costs as well as to provide bail in appropriate cases. The Department of Defense has liberally followed that statute, and large numbers of military members have taken advantage of its provisions.

When you are in a foreign court, remember you are a guest in that country and are subject to that country's laws and legal procedures. Also remember that whatever privileges service members possess, as compared with ordinary visitors or tourists in that country, they possess them only by special consent of the host country. Because of the host country's special consent, you are allowed to drive in that country based on your U.S. driver's license. You do not have to pay customs duty or taxes when bringing household goods and personal belongings, including your car, into the host country. You are allowed to enter and leave the country on military orders alone without a passport or visa.

Remember that as a guest in a foreign country, you are subject to that country's criminal laws and procedures. If you violate those laws, you may find yourself on trial before a foreign court. Only by the consent of the host country can you be tried by the courts of your own service for offenses committed on foreign soil. That is permitted only because of the Status of Forces Agreements, not as a matter of absolute right.

## **SUMMARY**

The preliminary inquiry is an important part of the pretrial procedure. You are an impartial investigator and should seek to find all the relevant facts of the case. Your job is to provide the commanding officer with all the information so that he or she can make a decision concerning the accused.

*United States Navy Regulations, 1990* describes the procedures, authority, and command of offices within the Department of the

Navy. It also discusses honors and ceremonies, the rights and responsibilities of persons in the Navy, and the purpose and force of the regulations.

*Standard Organization and Regulations of the U.S. Navy* contains regulations to supplement *Navy Regs* and provides standard administrative and organizational guidelines for naval units. The regulations and guidelines are designed to increase the organizational and administrative effectiveness of naval units.

Status of Forces Agreements clearly define the status of one country's military personnel stationed in the territory of another country. The host country usually gives up some jurisdiction to the visiting country in some criminal and civil cases.

## REFERENCES

*Basic Military Justice Handbook*, Naval Justice School Press, Newport, R.I., 1987.

*Standard Organization and Regulations of the U.S. Navy*, OPNAVINST 3120.32B, Office of the Chief of Naval Operations, Washington, D.C., 1986.

*Status of Forces Policies, Procedures, and Information*, Army Regulation 27-50, Secretary of the Navy Instruction 5820.4G, Departments of the Army and Navy, Washington, D.C., 1990.

*U.S. Navy Regulations, 1990*, Office of the Secretary of the Navy, Washington, D.C., 1990.

# CHAPTER 3

## LEADERSHIP

### LEARNING OBJECTIVES

Upon completion of this chapter, you should be able to do the following:

1. Describe how to apply sound leadership practices to managerial abilities.
2. Interpret command or departmental instructions and documents used to formulate division work requirements.
3. Analyze division material and personnel readiness
4. Identify the steps necessary to monitor the progress of overall division work efforts.
5. Identify the methods used to determine division timelines.
6. Identify the methods used to monitor the assignment of division personnel.

This chapter addresses the topics of leadership and management. The chapter should provide you with an introduction to the fundamentals of leadership and management required at the chief petty officer level. Topics covered in this chapter include effective management, leadership, personal characteristics, and Total Quality Management (TQM). An in-depth discussion of the topics presented in this chapter is beyond the scope of this text. However, *Management Fundamentals:*

*A Guide for Senior and Master Chief Petty Officers*, NAVEDTRA 10049, gives an excellent general overview of leadership and management fundamentals used by chief petty officers.

### SUPERVISORY RESPONSIBILITIES

Within the formal Navy management structure, management begins at the chief petty officer level (fig 3-1). Top-level management is composed of

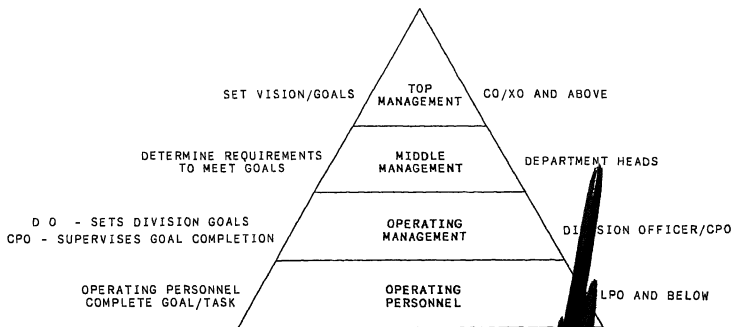


Figure 3-1.—Levels of management.

executive officers and above. Those officers are responsible for setting the direction and vision of the command. In short, they set the major goals the command is to accomplish.

Middle management is composed of department heads. The department heads determine which elements of their department are required to meet each of the specific goals set by upper management. Department heads also assist in coordinating action between their divisions or interaction with other departments.

Operating-level management is composed of division officers and chief petty officers. Personnel at that level are responsible for fulfilling the supervisory function of management. The operating level of management is responsible for taking the goals and determining a plan of action to accomplish the goals. The operating level is also responsible for ensuring the workers accomplish the goals in a timely manner. The elements of management chief petty officers are involved in include planning, staffing, controlling, organizing, and leading.

## PLANS

Plans are methods devised to achieve a goal. They are like road maps—they set the course the command will follow. All levels of management are involved in one type of planning or another. At the chief petty officer level, you will probably be involved in only one type of planning.

All plans fall into one of three general groups: strategic plans, standing plans, and single-use plans. Although you will normally be involved in single-use plans, understanding all levels of planning will help you meet your planning requirements.

### Strategic Plans

Strategic plans involve activities that will take place in 2 to 5 years. The type commander (TYCOM) or higher authority uses the strategic plans of an organization to set its organizational mission and objectives. The commanding officer may set additional organizational objectives such as receiving the Golden Anchor Award or passing the operational propulsion plant examination (OPPE) with no discrepancies.

**ORGANIZATIONAL MISSION.**—The organizational mission states the intended purpose of the command. The *Ship's/Command's Organization and Regulation Manual (SORM)* contains the organizational mission.

## ORGANIZATIONAL OBJECTIVES.

Organizational objectives are long-range objectives. They serve as the goals for management in achieving the organizational mission. The type commander or squadron-level commanders set organizational objectives. You can find those objectives in your command's five-year plan, yearly schedule, and quarterly schedule. Examples of organizational objectives are the board of inspection and survey (INSURV), the operational propulsion plant examination (OPPE), the operational readiness inspection (ORI), and deployment schedules.

You can use those long-range objectives to assist you in planning your work center objectives. An example of a work center objective is preparing for an upcoming board of inspection and survey (INSURV) visit.

As a work center supervisor, you will probably discover an upcoming inspection the month before it occurs. You could, however, find out the approximate date of the inspection 2 or more years in advance so that you could begin correcting or documenting discrepancies. That type of planning eliminates crisis management.

### Standing Plans

Standing plans are those the Navy uses for recurring or long-range activities. They include *United States Navy Regulations, 1990 (Navy Regs)*, *Standard Organization and Regulations of the U.S. Navy (SORN)*, *SORM*, SECNAV instructions, OPNAV instructions, captain's night orders, technical manuals, and so forth. Chief petty officers use standing plans to determine routine work requirements within the division or work center.

**POLICIES.**—Policies are broad general statements of expected behavior. You should become familiar with the command policies stated in the *SORM*. You could be tasked with helping the division officer develop divisional policies. Divisional policies involve areas such as the command sponsor program, extra military instruction (EMI), extension of work hours, and routing of request chits. As a general rule, your division will already have division and command policy statements; your job is to ensure your subordinates carry out those policies.

**PROCEDURES.**—Procedures are detailed standing plans. Procedures define the exact steps in sequence personnel should take to achieve the

organizational objective. Examples are an electrical tag-out procedure, a maintenance requirement card (MRC), or a command check-in/out sheet. Ensure personnel comply with your division's established procedures, and submit requests for correction whenever a procedure becomes outdated or is in error.

**RULES AND REGULATIONS.**—Rules and regulations are standing plans that specifically state what personnel can and cannot do in a given circumstance. Commands use them to ensure personnel adhere to policy. *Navy Regs, SORN*, and command regulations fall into this category.

Although you should enforce rules and regulations, you don't have to place everyone who violates a rule or regulation on report. As a chief petty officer, you have some latitude in applying corrective measures, depending on the severity of the infraction.

### Single-Use Plans

Single-use plans are those used for short-range nonrecurring activities. You should excel in this area of planning. Make short-range planning a part of your daily activity. Use strategic plans and standing plans to determine short-range planning requirements. Short-range plans should include monthly, weekly, and daily plans. Types of single-use plans you will develop include programs, projects, and budgets.

**PROGRAMS** —Programs are single-use plans that state a specific goal and give the major steps, the timing of those steps, and the resources required to meet the stated goal. Examples of programs include the Personal Excellence Program, the National Apprenticeship Program, and the Overseas Duty Support Program.

**PROJECTS.**—Projects are the separate tasks you must plan to meet program goals. When you make plans to paint divisional spaces, you are planning a project required to meet the goals of the Habitability Program. When you fill out a training schedule, you are planning a project required to meet the goals of your command training program.

Become familiar with the Navy's programs. Doing so can help you to lead and manage your work center more efficiently because you will be aware of what is expected of you. You will also have steps to follow in reaching program goals. You can then devise projects to meet those goals.

**BUDGETS.**—Budgets are planned revenue and expenditures of money, time, personnel, equipment, and so forth, expressed in numerical terms, usually by category and over a period of time. Most people think of budgets only in relation to money. You should think of a budget as a detailed plan of how you will use *all* of your resources.

When you plan a project, make a budget of the time allowed, the personnel assigned, and the material resources and funding required.

### MANAGEMENT BY OBJECTIVES

*Management by objectives* (MBO) is a fancy term for the type of management most commands use. MBO means supervisors and subordinates take part in setting overall goals for the organization. Each individual has a responsibility for meeting a major area of the goal. The command expresses that responsibility as those steps it expects individuals to take in meeting those goals. The command then uses those expectations as a measuring device to gauge the successful completion of the job.

The Navy Leader Development Program (NAVLEAD) is based on MBO. It teaches Navy leaders to set goals. The leaders use management and supervisory skills, outlined later in this chapter, to achieve desired results in the work center or division.

#### Objectives

The purpose of MBO is to set clearly defined goals that all participants can easily understand. MBO helps managers plan, define jobs, motivate subordinates, interact with subordinates, evaluate worker performance, and link command objectives to division or work center objectives.

#### Basic Principles

MBO is based on two basic principles. The first is that if you get people committed to a goal, they are more willing to work toward that goal. The second is that if you allow people to set the goal, they will do everything possible to achieve that goal.

As a manager, your first job is to get people committed to a goal through joint decision making. When done correctly, your subordinates will have a personal interest in accomplishing the goal. The goal will no longer be just what the chief wants to do, but what your subordinates told you

they were capable of accomplishing. At that point the goal has become the personal goal of your subordinates.

Your second job is to work with your subordinates to set a goal. Goals should be realistic and attainable. When subordinates participate in goal setting, they help to set the standards and criteria you will use to evaluate their performance in reaching that goal.

### Advantages and Disadvantages

MBO provides some advantages over other types of management styles. It involves subordinates in setting goals, forces leaders to focus on important objectives, increases communication, and establishes measurable performance goals.

However, MBO also has some disadvantages. An organization can use it only in certain situations. It requires more time to use, increases paperwork, and may overlook objectives that cannot be measured. In addition, MBO will work only if top leaders support it and people communicate as required. When leaders don't support MBO, the disadvantages can cripple an organization.

### DETERMINING WORK REQUIREMENTS AND SETTING PRIORITIES

One of the most difficult and often overlooked jobs of the chief petty officer is to determine divisional work requirements and priorities. You will find the work requirements in your division's strategic plans, rules and regulations, and single-use plans. Once you have determined the requirements, you must determine the tasks needed to complete them. Then you will set priorities based on the order in which the division needs to complete each task.

### Determining Work Requirements

To determine work requirements, you need a starting point to establish what your division is presently accomplishing (the real situation) in relation to what the division should be accomplishing (the ideal situation).

The work requirements your division should be accomplishing are outlined in your command's strategic, standing, and single-use plans. You should compare these work requirements to what your division is currently accomplishing. You may find your division is not following the work

requirements outlined in your command's various plans. In this case, you need to revise the division work requirements to conform to the command's plans. Or you may find your division has the correct work requirements, but the goals for those requirements are not being met. In this case, you need to revise the division's goals for accomplishing the work requirements.

The real-ideal model (fig. 3-2) is a flow chart you can use in setting new goals for your division's work requirements. The exact sequence of setting goals for work requirements should be done in the following order:

- Recognize the real situation in your division.
- Review strategic, standing, and single-use plans to determine the ideal situation for your division.

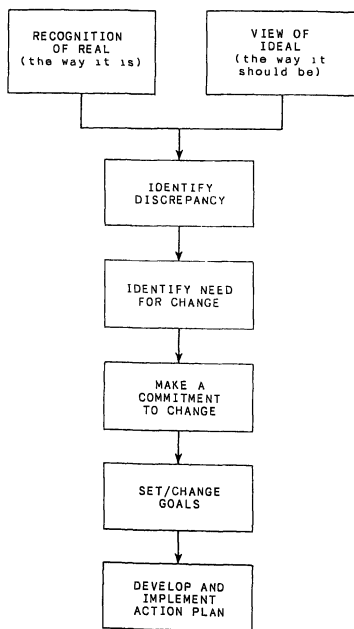


Figure 3-2.—Real-ideal model.

- Identify the differences between the real and ideal situation.
- Determine if the gap between the real and ideal is large enough to require corrective measures.
- Make a commitment to change if so required.
- Set the goals for accomplishing the change.
- Develop a single-use plan to implement the change.

After your goals for the work requirements are set, you should review them to ensure they will be effective. Effective goals for work requirements should meet four criteria:

1. Be behavior specific—specify the necessary action to take
2. Be measurable—specify criteria or checkpoints for accomplishing the goal
3. Be realistic but challenging—test your ability, but have at least a 50-percent chance of being attained
4. Be time-phased—provide a time schedule or deadline for reaching the goal

### **Priorities**

You should now have determined your division or work center work requirements by using the real-ideal model. The next step is to prioritize the work requirements. To determine priorities, ask the question: What is the purpose of my division? Then use the answer to this question to set your number one priority.

Next, at the top of a sheet of paper, write two headings: **ROUTINE** and **NONROUTINE**. In the routine column, list tasks that take place on a recurring basis. In the nonroutine column, list tasks that do not occur often and need your special attention. Within each column, label each task **Important**, **Urgent**, or **Important/Urgent** as appropriate. Important/urgent tasks require immediate attention; do those first. Do the Urgent tasks next and the Important tasks last. Some tasks may not fit any of the categories; do those tasks when you have time.

You have now divided all tasks into two columns and prioritized them. Which tasks do *you* do? You do only those which require your special skills. Delegate the tasks in the routine column

to subordinates. Delegate those in the nonroutine column if possible; however, monitor job progress closely.

Ensure you have trained your subordinates before delegating any work to them. When you delegate work, let your subordinates know you are available to help with any problems.

### **STRENGTHS, WEAKNESSES, OPPORTUNITIES, AND THREATS (SWOT)**

You can use the strengths, weaknesses, opportunities, and threats (SWOT) analysis to help you determine the needs of the division. The objective of the SWOT analysis is to help you identify those areas in which the division (1) needs improvement (2) has available opportunities and (3) must overcome certain obstacles.

To perform a SWOT analysis, first take an objective look at your division. Make a list of its strengths. Those are the areas in which the division does a good job. Second, make a list of the division's weaknesses. Those are the areas in which the division needs to improve. Third, make a list of opportunities. Those are areas that could help the division, such as unfilled school quotas, surplus supply funds, personnel due to report, and maintenance availabilities. Last, make a list of threats. Those could be upcoming inspections, personnel losses, and cuts in funding. Perform the SWOT analysis before the beginning of each quarter, and then use it in developing your short-range plans.

### **STAFF**

Every job the Navy has requires people. Each person is important to the overall mission of the Navy. Therefore, the staffing of personnel is an important part of your job. In determining personnel needs and qualifications to keep your division running smoothly, remember that people are your most important resource.

### **Personnel Needs**

You will assist the division officer in reviewing the ship manning document to determine future manning requirements. Since your command may periodically request additional billets to cover personnel shortages, be sure to document your division's personnel requirements to justify those requests.

Additionally, you may be required to solicit or provide additional manpower from or to other divisions to accomplish assigned tasks. Careful planning and cooperation with other divisions can result in benefits for both divisions. Never ask for more people than you need, but be sure you have enough people on hand to meet special requirements.

### **Personnel Qualifications**

You need more than just people to accomplish tasks—you need qualified people. Review personnel qualifications to ensure you assign qualified people to do jobs. When people are not qualified, assign a qualified person to help them in task accomplishment.

When reviewing personnel qualifications, make sure their service records document those qualifications. A person is not qualified until the required entries have been made in his or her service record. Don't put yourself in the position of having to endure a mishap investigation because your people were unqualified.

## **CONTROLLING**

*Controlling* is another term for monitoring. Control ensures the Navy and your command, department, and division meet their goals. You must use different types of control to maintain stability within your division.

### **Feedforward**

Feedforward control is a way of trying to anticipate problems and make adjustments before the problems occur. You try to foresee possible problems and apply a solution to prevent them from occurring. The planned maintenance system (PMS) used aboard ship is an example of feedforward control.

### **Concurrent**

Concurrent control involves making changes while an event is taking place. You constantly make little changes to keep your division moving toward your stated goal. An example of this type

of control is when the officer of the deck (OOD) makes course changes during navigation detail.

### **Feedback**

Feedback involves making corrections after an event has happened. You monitor the event and then evaluate how to improve the outcome the next time. Examples of this type of control include performance evaluations, inspections, and captain's mast.

### **Inventory Control**

The Navy supply system is designed to be an effective inventory control system when used correctly. However, most supervisors often overlook inventory control until they go to supply to request a part. Make sure you perform inventory control by monitoring division supplies. Ensure your coordinated shipboard allowance list (COSAL) is current and that supply has all the spare parts or required supplies listed in your COSAL inventory.

### **Quality Control**

Quality control is a method of ensuring that your customers receive a product that meets performance expectations. Your customers are divisions or departments that use your division's work output. Your customers also include other commands and the American taxpayer. A basic quality control system involves some or all of the following measures:

- Setting standards so that quality goals can be established and then measuring or evaluating those goals
- Inspecting and comparing materials, parts, and services to a set standard
- Using statistics to measure deviation and determine if quality is within set standards
- Using measurements or inspections to evaluate or compare actual quality to division goals for quality

#### **FEEDFORWARD QUALITY CONTROL.—**

Feedforward control, when used as a quality control device, is an inspection of the raw input for defects. An example is when you check parts received from supply to ensure they are of the correct type and number and are free of defects. If you find a problem, you should try to determine where it occurred. Did your division order the wrong part, wrong quantity of parts, or wrong style of part? Does the supply system have a quality control problem that should be identified and passed on to higher authority for action?

#### **CONCURRENT QUALITY CONTROL.—**

Concurrent control, as a quality control device, uses inspections to identify potential defects while the work is taking place. An example is when you inspect surfaces to be painted before painting.

**FEEDBACK QUALITY CONTROL.—**Feedback, when used as a quality control device, occurs after the task has been completed. This technique is useful to improve future quality. However, if you omit feedforward and concurrent control and only rely on feedback, many tasks may require complete rework because of problems in quality.

**STATISTICAL ANALYSIS —**When the number of items produced is too large for an inspection of each item, statistical analysis is used. Random samples are taken and measured against the stated quality goal. If the samples fail to meet expectations, then the entire batch or lot could have failed to meet quality goals. An example is a periodic planned maintenance system inspection by the type commander (TYCOM). TYCOM might make random maintenance inspections and use the results to form conclusions about overall maintenance within the command.

**QUALITY CIRCLES.—**Quality circles consist of small groups of workers within each division who look for ways to reduce defects, rework, and equipment downtime. The workers also make recommendations concerning morale, working conditions, and worker recognition for superior performance.

**ZERO DEFECTS.—**Zero defects is a type of quality control that is based on the theory of doing the job right the first time. Supervisors encourage workers to stop work to seek a solution when they identify a problem and to suggest methods of improvement. Supervisors follow up on suggestions and put into effect those which are feasible. Workers who practice this type of control save time because they do not have to rework a task.

#### **Measurable and Nonmeasurable Control**

To achieve control, you can use two methods: (1) measurable and (2) nonmeasurable.

**MEASURABLE CONTROL.—**You can use measurable control to determine the quality and quantity of the work output. This method of control involves the use of specific information and measurements, such as budgets, audits or inspections, Gantt charts, and performance evaluation and review techniques (PERT).

**NONMEASURABLE.—**You can use non-measurable control to measure overall division performance while performing other functions such as planning, staffing, organizing, and leading. You can also use it to control the attitudes and performance of workers. This method of control involves the use of techniques such as discussions with workers, oral or written reports, performance evaluations, inspections, and observations of work.

**TYPES OF MEASURABLE CONTROL.—**Most of the nonmeasurable controls are built into the Navy system or are self-explanatory. We will limit this discussion to the measurable methods of control most people may not be familiar with. These methods are the plan of action and milestones, Gantt chart, program evaluation and review technique (PERT), and critical path method (CPM).

**Plan of Action and Milestones.—**A plan of action and milestones (POA&M) could be considered a budgetary type of control. You use the POA&M to budget time, personnel, and resources necessary to complete a task. The basic POA&M defines the job to be done, resources required, steps to be taken, and progress expected.

**COERCIVE POWER.**—Coercive power results from the expectation of a negative reward if your wishes are not obeyed. For example, suppose you have counseled a subordinate twice for minor infractions of regulations. At the third counseling session, you threaten the subordinate with NJP. At the next occurrence of the undesirable behavior, you place the subordinate on report.

Coercive power works, but is not the preferred method of leading subordinates. It works best if used when all else fails and you feel sure you can carry through with a threat. Before giving a threat, you should have some insight as to how the CO will handle the case. You do not want to recommend maximum punishment only to have the CO dismiss the case at mast.

**LEGITIMATE POWER.**—Legitimate power comes from the authority of your rate and position in the chain of command. You use this power in day-to-day business. Although legitimate power increases with added responsibilities, you can decrease that power if you fail to meet all of your responsibilities.

To increase your legitimate power, assume some of the division officer's responsibilities. At first, the division officer will be glad to have the help. In time, the division officer will view the responsibilities as yours and formally delegate additional authority to you. That would increase your legitimate power without diminishing the power of the division officer.

Just as you can increase your legitimate power by assuming more responsibility, you can decrease that power by losing responsibility. For example, if you permit the division officer to assume some of your responsibilities, the division officer will eventually begin to view your responsibilities as his or hers. You will then have less legitimate power. However, when a subordinate wishes to assume some of your responsibilities, formally delegate those responsibilities to the subordinate. That makes the subordinate accountable to you. You then increase the subordinate's power while retaining your power.

**INFORMATIONAL POWER.**—Informational power depends on your giving or withholding of information or having knowledge that others do not have. Use informational power when giving orders to subordinates. Give orders in such a manner that your subordinates presume the order originated at your level. When forced to comply with orders you do not agree with, don't introduce the order by saying "The division officer

said . . ." Phrase and present the order in a manner that leaves no doubt you initiated it.

Rely on your own resources to stay fully informed instead of depending on others. Subordinates may present unreliable information in a manner that makes it appear to be true. Superiors may become so involved with projects they forget to keep you informed of tasks being assigned or upcoming inspections. Information is power. Stay informed!

**REFERENT POWER.**—Referent power derives from your subordinates' identification or association with you. You have this power by simply being "the chief." People identify with the ideals you stand for.

The chief has a pre-established image. You can enhance that image by exhibiting charisma, courage, and charm. An improved image increases your referent power. Always be aware of how others will perceive your actions. A negative image in the eyes of others will lessen your power and render you ineffective. Maintain a positive image!

**EXPERT POWER.**—Expert power comes from your knowledge in a specific area through which you influence others. You have expert power because your subordinates regard you as an expert in your rating. Subordinates may also have this type of power. When you combine expert power with other types of power, you will find it an effective tool in influencing others. However, when you use it by itself, you will find it ineffective.

## LEADERSHIP

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Good leadership is of primary importance in that it provides the motivating force which leads to coordinated action and unity of effort. Personnel leadership must be fused with authority since a leader must encourage, inspire, teach, stimulate, and motivate all individuals of the organization to perform their respective assignments well, enthusiastically, and as a team. Leadership must ensure equity for each member of the organization. Concerning actions in his or her area of responsibility, the leader should never allow a subordinate to be criticized or penalized except by himself or herself or such other authority as the law prescribes.

—*Standard Organization and Regulations of the U.S. Navy*

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Leadership is often talked about and discussed without thoroughly being explained. Exactly, what is leadership? Are leaders born or can they be trained? Management specialists have been searching for the correct answers for over 90 years.

The Navy defines leadership as the ability to influence others toward achieving the goals and objectives of the organization. Leadership involves inspiring, motivating, and developing others.

Many theories have been developed to explain the leadership process. The theories range from Douglas McGregor's Theory X and Theory Y to William Ouchi's Theory Z. The Japanese used Theory Z to develop the Total Quality Management (TQM) leadership style, discussed later in this chapter.

Based on Theory X, the leader assumes people are basically lazy; will avoid working if possible; must be coerced, controlled, directed, or threatened; wish to avoid responsibility; have no ambition; and want security. People who base their leadership style on that theory use threats to motivate subordinates.

Theory Y proposes that the leader assumes people like to work; will seek additional responsibility when the proper work environment exists; will exercise self-direction and self-control; and have a high level of imagination, ingenuity, and creativity. People who pattern their leadership style after this theory help subordinates perform work assignments

According to Theory Z, people who don't fit either Theory X or Theory Y are really a combination of the two. People who develop a leadership style based on Theory Z use different styles of leadership with different people, depending on the situation

### **Relation to Management**

Civilian management sees leadership as just one of its five functions. It expects its managers to plan, organize, control, staff, and then apply leadership to motivate employees. The Navy sees leadership as all-encompassing. The Navy leader first and foremost motivates subordinates. The Navy then applies the management functions of planning, organizing, controlling, and staffing as needed to meet organizational goals.

Although the views of the civilians and the Navy seem to be different, both have one element in common. Effective leadership involves planning, organizing, controlling, and staffing. Good

leaders plan well, establish an effective organization, set up an efficient and effective control system, and staff required jobs with the right people. Finally the leader excels at inspiring and motivating subordinates.

### **Leadership Styles**

What's your style of leadership? Do you practice one style of leadership all the time, or do you vary your actions according to the particular situation or type of people with whom you are working? You might have asked yourself, How do I maintain respect for my position of authority and at the same time allow my people to voice their opinions? How can I take the time to get their point of view when I'm under pressure to get the job done? These questions are puzzling, and they have no easy answers. A leader must walk a tightrope when it comes to solving these dilemmas of leadership.

As a leader, you can practice leadership in many ways. Research on leaders and leadership has identified several leadership styles. Most people have a preferred range of styles. No one leadership style is right or wrong; the appropriate style depends on the people being led, the situation, and the requirements of the job.

In any situation, a leader must perform six tasks that in some way involve or affect subordinates. A good leader takes the following actions:

- Listens to subordinates to diagnose or solve problems
- Sets goals and develops short- and long-range action plans
- Gives directions about who is to do which tasks to what standards
- Provides feedback on task performance
- Rewards or disciplines task performance and personal characteristics
- Develops subordinates

The way these six tasks are handled at any one time varies with the nature of the jobs. A different leadership style should be used for routine tasks than for innovative tasks or for situations that require crisis management. Similarly, tasks of short duration often warrant a different style from those that extend over long periods.

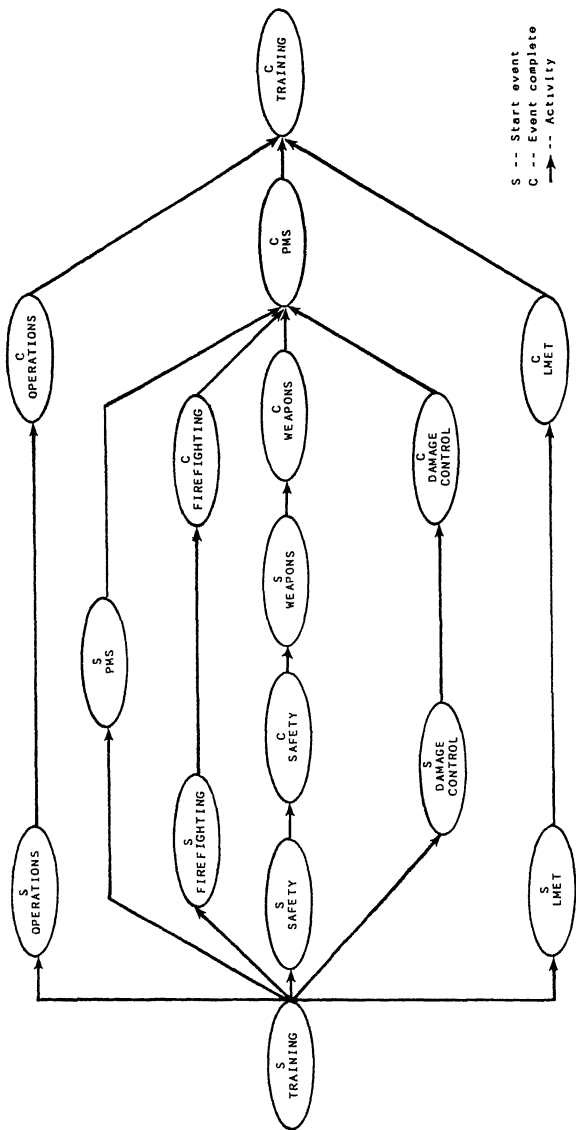


Figure 3-5.—Sample PERT chart.

**ACTIVITIES.**—Your subordinates expect you to control their work by comparing it to a set standard. When they know you will exercise that control, they will try to meet that standard.

**TIMELINESS.**—Since managers need time to take corrective action when tasks deviate from the normal standard, subordinates must make a timely report of those deviations. The “timeliness” of reports depends on the amount of time a manager designates as adequate—it could range from minutes to months. Therefore, when designing your control system, specify the amount of time you consider to be timely.

**EFFECTIVENESS.**—Control systems may involve additional cost. You should work to reduce the cost of your control system, while still retaining an effective system. Additional costs could result from the need for additional people, material, equipment, or time. Evaluate your control system to eliminate or modify needless costs.

**ACCURACY** —Your control system monitors progress and serves as the basis for corrective action. Therefore, you should ensure it provides you with accurate information from which to make decisions. Be aware that since people are human, errors will occur in the reporting process. Also realize some people will present information in a manner that will deemphasize the negative while accentuating the positive. People usually present information in that manner to try to make themselves look good.

**ACCEPTANCE.**—People usually resist control. The strongest resistance comes when people perceive the control to be excessive. Excessive control gives the impression you do not trust your subordinates.

To avoid resistance, explain the purpose of the control system to your subordinates. Make them feel they have an interest in the success of the system. By explaining the purpose and generating interest in the control system, you have a greater chance of convincing subordinates to accept it.

## ORGANIZATION

Organization is the process of arranging material and personnel by functions to attain the objective of the command. Organization establishes the working relationships among command personnel and establishes the flow of

work. It promotes teamwork and identifies the authority, responsibility, and accountability of individuals within the command.

An in-depth discussion of organization is well beyond the scope of this text. Therefore, this chapter will touch on only a few basic ideas and concepts of which you should be aware. Those ideas and concepts include types of organizations, organizational concepts, delegation of work, and authority and power.

### Types of Organization

Of the many different types of organization used today, the Navy uses three specific types: line, staff, and functional.

**LINE.**—Line organizations refer to the major departments responsible for accomplishing the mission of the command. These departments are usually Deck, Engineering, Operations, Weapons or Combat Systems, and Air.

**STAFF.**—Staff organizations refer to personnel who advise, assist, counsel, and serve the line departments. Staff usually does not have authority over line departments. Examples of staff include the Supply Department, 3-M Coordinator, educational services officer (ESO), and drug and alcohol program advisor (DAPA).

**FUNCTIONAL.**—Functional organizations refer to special departments that are neither line nor staff. Usually a functional organization starts out filling a staff function and becomes so important to the success of the command that it is given special status. The manager has the authority to ensure all parts of the command perform as necessary to carry out that function. Examples of functional organizations include the Medical, Safety, Legal, and Administrative Departments.

### Organizational Concepts

At certain times you must report items such as personnel readiness or material readiness to higher authority. The method used to make these reports will vary from command to command. However, certain basic concepts are common to all methods: the chain of command, unity of command, span of control, and specialization.

**CHAIN OF COMMAND.**—The chain of command is the order of authority among Navy

members. The chain of command begins with the commanding officer (CO) and flows down to the seaman recruit. All members use the chain of command when they communicate about orders, responsibilities, reports, and requests from higher to lower authority or lower to higher authority. Members also use the chain of command when they communicate with others who have the same level of authority, such as a counterpart in another division.

**UNITY OF COMMAND.**—Unity of command is the order of control of an organization. It gives one person control over one segment of the organization. It ensures that a person reports directly to and receives orders from only one individual. The person in control issues all orders and receives all reports from his or her segment of the organization. To ensure all personnel know whom they direct and to whom they report, commands should have clearly set lines of authority.

Use of the chain of command and an organizational chart will help you maintain unity of command. Be sure you clarify your position both to your superiors and subordinates.

**SPAN OF CONTROL.**—Span of control refers to the ideal number of people one person can effectively supervise. The ideal number is based on the scope of the assigned functional responsibilities and the time available to the supervisor. Normally a supervisor is responsible for at least three but not more than seven people.

**SPECIALIZATION.**—Specialization refers to the division of work. The organizational chart normally shows the division of work. Work centers are highly specialized by ratings. Divisions usually contain personnel in similar ratings, and departments contain personnel in ratings that perform similar tasks

### Delegation of Authority

The American citizens delegate authority to the President, who, in turn, delegates authority down the chain of command to you. You delegate authority to the lowest level competent to handle the specific responsibility. Although you may delegate authority for a task, you have the final responsibility for the completion of that task.

When you delegate authority to your subordinates, let them make their own decisions about how to handle problems that arise. If they make

wrong decisions, they will learn from their mistakes. However, encourage and train your subordinates to come to you if they need help in making a decision. Since you are training your subordinates to fill a higher position of authority, help them, but do not do the delegated work yourself.

### WHY YOU SHOULD DELEGATE.—

Delegating allows you to accomplish more than if you try to complete every task yourself. It allows you to focus your attention where it is most needed and to train and develop subordinates. Delegation also allows you to make good decisions outside your area of expertise. For example, because of specialization, you may not have the knowledge level required to make the correct decision about how to complete a task. In that case, you would be wise to delegate the task and have the subordinate report back to you with alternative courses of action. You would then review the alternatives and make your decision based on the information presented.

**FAILURE TO DELEGATE.**—Many supervisors fail to delegate, or they delegate poorly. Some people refuse to delegate because they feel more powerful when they make all the decisions. Others avoid delegating because they think subordinates might exercise poor judgement. Some supervisors have a fear of letting subordinates make decisions they will be responsible for. Some supervisors are afraid the subordinate will be more effective and thus threaten their position. Still other supervisors do not believe subordinates want the opportunity to have more authority and decision-making responsibility.

Make sure you train your subordinates through delegation of authority. Both you and your subordinates will be happier and have more time.

**SUBORDINATES' ROLE IN DELEGATION**—When you delegate the authority to complete a task, your subordinates' role is to accept that authority. Along with that authority, they must accept the additional responsibility and accountability that go with it.

Subordinates sometimes are unwilling to accept authority for the following reasons:

- They don't want to risk making a decision.
- They have a fear of being criticized.

- They have a lack of self-confidence.
- They want to avoid the pressure of additional responsibility.

Counsel any of your subordinates who show these signs of unwillingness. Help them overcome their fears and learn to accept authority and responsibility.

## **AUTHORITY AND POWER**

With authority comes power. Power is the ability to influence people toward organizational objectives. However, you have limits on your authority and power. View your authority and power as a funnel, broad at the top and narrow at the bottom. Always assume you have enough authority and power to meet your obligations, but do not exceed that limit.

### **Authority**

Authority only exists when subordinates accept the idea that the supervisor has authority over them. Subordinates can fail to recognize authority through disobedience, denial, or work delays. Subordinates usually accept authority readily, however, abusing your authority as a supervisor can make you ineffective.

Although most authority in the Navy results from a member's rank or position in the chain of command, many types of authority exist. Most authority in the Navy is delegated.

**LINE AUTHORITY.**—Line authority is the authority you have over subordinates in your chain of command. This type of authority corresponds directly to your place within the chain of command and does not exist outside the chain of command.

**STAFF AUTHORITY** —Staff authority is the right of staff to counsel, advise, or make recommendations to line personnel. This type of authority does not give staff the right to give line personnel orders that affect the mission of the line organization.

A chief from another work center or division could, by virtue of his or her rank, exercise staff authority over a person in your work center or division by counseling or advising him or her to get a haircut. Failure to follow the advice or counsel may result in nonjudicial punishment (NJP) for the subordinate. The other chief would

not, however, have the authority to enter your work center or division and make changes that only you and your superiors have the authority to make.

**FUNCTIONAL AUTHORITY.**—Certain staff organizations are granted functional authority to direct line units within the area of the staff's specialty. Examples of staff organizations with functional authority include the Legal, Equal Opportunity, and Safety Departments.

### **Power**

In conjunction with your authority, you use power to influence others toward the accomplishment of command goals. You can use power for personal gain or for the good of the organization. However, if your subordinates believe you use power for personal gain, you will soon suffer an erosion of that power. On the other hand, if subordinates believe you use power to accomplish the organizational goals, your power to influence them will become stronger. Your power will also become stronger when you share it through delegation of authority.

Of the six types of power—reward, coercive, legitimate, informational, referent, and expert—you may use one or more in various combinations. Each situation will determine the one or ones you use.

**REWARD POWER** —Reward power stems from your use of positive and negative rewards to influence subordinates. Positive rewards range from a smile or kind word to recommendations for awards. Negative rewards range from corrective-type counseling to placing a person on report.

You will find one of the best ways to influence your subordinates is through the use of your reward power. As a chief, you are responsible for starting the positive reward process. First, write a recommendation for the award. Once the recommendation is typed in the command's standard award letter format, forward it up the chain of command for approval. Your job does not end here. Always follow-up on the recommendation, using your influence and persuasion to get the award to the proper command level.

Frequent use of positive rewards will amplify the effect of a negative reward. Give positive rewards freely, but use restraint in giving negative rewards. If you use negative rewards frequently, subordinates will begin to expect a negative reward. Their expectation of a negative reward will lessen your power.

**COERCIVE POWER.**—Coercive power results from the expectation of a negative reward if your wishes are not obeyed. For example, suppose you have counseled a subordinate twice for minor infractions of regulations. At the third counseling session, you threaten the subordinate with NJP. At the next occurrence of the undesirable behavior, you place the subordinate on report.

Coercive power works, but is not the preferred method of leading subordinates. It works best if used when all else fails and you feel sure you can carry through with a threat. Before giving a threat, you should have some insight as to how the CO will handle the case. You do not want to recommend maximum punishment only to have the CO dismiss the case at mast.

**LEGITIMATE POWER.**—Legitimate power comes from the authority of your rate and position in the chain of command. You use this power in day-to-day business. Although legitimate power increases with added responsibilities, you can decrease that power if you fail to meet all of your responsibilities.

To increase your legitimate power, assume some of the division officer's responsibilities. At first, the division officer will be glad to have the help. In time, the division officer will view the responsibilities as yours and formally delegate additional authority to you. That would increase your legitimate power without diminishing the power of the division officer.

Just as you can increase your legitimate power by assuming more responsibility, you can decrease that power by losing responsibility. For example, if you permit the division officer to assume some of *your* responsibilities, the division officer will eventually begin to view your responsibilities as his or hers. You will then have less legitimate power. However, when a subordinate wishes to assume some of your responsibilities, formally delegate those responsibilities to the subordinate. That makes the subordinate accountable to you. You then increase the subordinate's power while retaining your power.

**INFORMATIONAL POWER.**—Informational power depends on your giving or withholding of information or having knowledge that others do not have. Use informational power when giving orders to subordinates. Give orders in such a manner that your subordinates presume the order originated at your level. When forced to comply with orders you do not agree with, don't introduce the order by saying "The division officer

said . . ." Phrase and present the order in a manner that leaves no doubt you initiated it.

Rely on your own resources to stay fully informed instead of depending on others. Subordinates may present unreliable information in a manner that makes it appear to be true. Superiors may become so involved with projects they forget to keep you informed of tasks being assigned or upcoming inspections. Information is power. Stay informed!

**REFERENT POWER.**—Referent power derives from your subordinates' identification or association with you. You have this power by simply being "the chief." People identify with the ideals you stand for.

The chief has a pre-established image. You can enhance that image by exhibiting charisma, courage, and charm. An improved image increases your referent power. Always be aware of how others will perceive your actions. A negative image in the eyes of others will lessen your power and render you ineffective. Maintain a positive image!

**EXPERT POWER.**—Expert power comes from your knowledge in a specific area through which you influence others. You have expert power because your subordinates regard you as an expert in your rating. Subordinates may also have this type of power. When you combine expert power with other types of power, you will find it an effective tool in influencing others. However, when you use it by itself, you will find it ineffective.

## LEADERSHIP

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Good leadership is of primary importance in that it provides the motivating force which leads to coordinated action and unity of effort. Personnel leadership must be fused with authority since a leader must encourage, inspire, teach, stimulate, and motivate all individuals of the organization to perform their respective assignments well, enthusiastically, and as a team. Leadership must ensure equity for each member of the organization. Concerning actions in his or her area of responsibility, the leader should never allow a subordinate to be criticized or penalized except by himself or herself or such other authority as the law prescribes.

—*Standard Organization and Regulations of the U.S. Navy*

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Leadership is often talked about and discussed without thoroughly being explained. Exactly, what is leadership? Are leaders born or can they be trained? Management specialists have been searching for the correct answers for over 90 years.

The Navy defines leadership as the ability to influence others toward achieving the goals and objectives of the organization. Leadership involves inspiring, motivating, and developing others.

Many theories have been developed to explain the leadership process. The theories range from Douglas McGregor's Theory X and Theory Y to William Ouchi's Theory Z. The Japanese used Theory Z to develop the Total Quality Management (TQM) leadership style, discussed later in this chapter.

Based on Theory X, the leader assumes people are basically lazy; will avoid working if possible; must be coerced, controlled, directed, or threatened; wish to avoid responsibility; have no ambition; and want security. People who base their leadership style on that theory use threats to motivate subordinates.

Theory Y proposes that the leader assumes people like to work; will seek additional responsibility when the proper work environment exists; will exercise self-direction and self-control; and have a high level of imagination, ingenuity, and creativity. People who pattern their leadership style after this theory help subordinates perform work assignments.

According to Theory Z, people who don't fit either Theory X or Theory Y are really a combination of the two. People who develop a leadership style based on Theory Z use different styles of leadership with different people, depending on the situation.

### **Relation to Management**

Civilian management sees leadership as just one of its five functions. It expects its managers to plan, organize, control, staff, and then apply leadership to motivate employees. The Navy sees leadership as all-encompassing. The Navy leader first and foremost motivates subordinates. The Navy then applies the management functions of planning, organizing, controlling, and staffing as needed to meet organizational goals.

Although the views of the civilians and the Navy seem to be different, both have one element in common. Effective leadership involves planning, organizing, controlling, and staffing. Good

leaders plan well, establish an effective organization, set up an efficient and effective control system, and staff required jobs with the right people. Finally the leader excels at inspiring and motivating subordinates.

### **Leadership Styles**

What's your style of leadership? Do you practice one style of leadership all the time, or do you vary your actions according to the particular situation or type of people with whom you are working? You might have asked yourself, How do I maintain respect for my position of authority and at the same time allow my people to voice their opinions? How can I take the time to get their point of view when I'm under pressure to get the job done? These questions are puzzling, and they have no easy answers. A leader must walk a tightrope when it comes to solving these dilemmas of leadership.

As a leader, you can practice leadership in many ways. Research on leaders and leadership has identified several leadership styles. Most people have a preferred range of styles. No one leadership style is right or wrong; the appropriate style depends on the people being led, the situation, and the requirements of the job.

In any situation, a leader must perform six tasks that in some way involve or affect subordinates. A good leader takes the following actions:

- Listens to subordinates to diagnose or solve problems
- Sets goals and develops short- and long-range action plans
- Gives directions about who is to do which tasks to what standards
- Provides feedback on task performance
- Rewards or disciplines task performance and personal characteristics
- Develops subordinates

The way these six tasks are handled at any one time varies with the nature of the jobs. A different leadership style should be used for routine tasks than for innovative tasks or for situations that require crisis management. Similarly, tasks of short duration often warrant a different style from those that extend over long periods.

You can adapt the six different leadership styles (coercer, authoritarian, affiliator, democratic, pacesetter, and coach) to meet the requirements of different situations.

**COERCER.**—In this style of leadership, subordinates are expected to do the job the way the leader tells them to do it. Coercer leaders provide clear directions by telling subordinates what to do and how to do it. They don't listen to the subordinates nor permit much subordinate input. They expect immediate compliance and obedience to orders, and they control the jobs very tightly. This style of leadership requires many detailed reports on the job, including progress and problems with the job. Coercer leaders give more negative and personalized feedback than positive feedback and frequently resort to name calling to accomplish the job. They motivate their subordinates by threats of discipline or punishment.

**AUTHORITARIAN.**—Authoritarian leaders are firm but fair. They tactfully provide clear direction but leave no doubt about what is expected or who makes the final decisions. They solicit some input from subordinates on how to do the job and ways to make the job easier. Authoritarian leaders see their influence as a key part of their job. They persuade subordinates to do the job by explaining the "whys" behind decisions. They monitor all jobs closely and provide negative and positive feedback to their subordinates.

**AFFILIATOR.**—In this leadership style the people are the leader's first concern. Affiliator leaders consider concern for subordinates and personal popularity as the most important aspect of their job. They don't provide clear direction, standards, or goals. They provide for job security and fringe benefits to keep their subordinates happy. Affiliators avoid conflicts that might cause hard feelings. They reward personal characteristics rather than job performance, and they rarely punish subordinates.

**DEMOCRATIC.**—This style of leadership relies on participation of the group. Democratic leaders believe subordinates should take part in the decision-making process. They base decisions on the consensus of opinion of the entire group. They consider specific direction and close supervision unnecessary in completing the job when trust has been established. They frequently hold meetings and listen to their subordinates.

Democratic leaders usually reward average performance and rarely give negative feedback or punishment.

**PACESETTER.**—Pacesetter leaders would rather do the job themselves. They set high standards, and they lead by example. They are loners. They expect self-direction of themselves and others. Pacesetter leaders have trouble delegating because they believe they can do the job much better than their subordinates. They become coercive when their subordinates have difficulty or when things go wrong. Pacesetter leaders don't develop subordinates because they are continually taking away the subordinates' responsibility and exerting their own authority.

**COACH.**—In the coach style of leadership, leaders are concerned with the development of their subordinates. They are concerned with high standards but have trouble communicating these high standards to subordinates. Coach leaders see their job as developing and improving the performance of their subordinates. They direct by having subordinates set their own goals. They get their workers to develop plans and identify solutions instead of giving them clear, concise instructions on what to do and how to do it.

### **Advantages and Disadvantages of the Leadership Styles**

Each of the six leadership styles has advantages and disadvantages. Usually a good leader is a combination of several of these styles. You must tailor your personal leadership style to fit each situation.

The coercer style is especially effective during a wartime situation when the command is in combat or under fire. However, this style of leadership can have some negative effects if the command, work center, or individual is performing at a high rate of efficiency. Subordinates will not respond well to the repeated use of threats during normal situations.

You might find the authoritarian leadership style useful when seeking information on a particular situation or before inspections. However, it is normally not a good style to use in personal counseling sessions. This leadership style doesn't allow enough flexibility to provide alternative solutions to subordinates' personal problems. Using this style by jumping in and taking over in situations when you have technically competent workers is counterproductive.

The affiliator style of leadership is especially well adapted to the role of counselor. It is also effective when you need to recognize someone for doing a good job. However, the affiliator has a negative effect when the work center has a tight deadline or when you are in a leadership role for long periods.

People who use the democratic leadership style listen to subordinates. Therefore, you could benefit from this style when showing a new maintenance procedure or how a new piece of equipment works. You would also find it helpful when planning social events based on a consensus of opinion. Using this style when preparing for an inspection would be harmful because you would lack control. It would also be harmful during drills or combat because you would not have time to hold meetings. You would have to tell subordinates what to do or the entire command could be lost.

Using the pacesetter style of leadership is helpful when you are working with a new work center or teaching a new maintenance procedure by example. However, if you begin doing other people's work, rather than training, monitoring, and developing subordinates, the pacesetter style becomes harmful to the work center.

The coach style of leadership is helpful when a worker is attempting to learn a new procedure or master a new technique. It is also effective when you need to counsel a subordinate who frequently arrives late at the work center. However, this style of leadership has no effect on a subordinate who knows how to perform a job or task but refuses to do the work.

### **Factors Affecting Leadership Styles**

The following six elements interact to determine your leadership style

- Motives and values
- Past experiences
- Past and present supervisors
- Jobs or tasks
- Organizational culture and norms
- Situations

**MOTIVES AND VALUES.**—Your leadership style reflects those motives and values you see as

important. If power is important to you, you may emphasize the coercer style of leadership. If you value friendship, you may tend to emphasize the democratic or affiliator style of leadership.

**PAST EXPERIENCES.**—If a particular leadership style has worked in the past, you will probably use it again in similar situations. If a certain style didn't work, you will avoid using it again. Therefore, past experiences influence your leadership style.

**PAST AND PRESENT SUPERVISORS.**—Since supervisors serve as role models, subordinates frequently imitate their behavior; therefore, your supervisors influence your dominant leadership style.

**JOBS OR TASKS.**—The job or task your work center performs affects your leadership style. A new procedure or the installation of a piece of equipment may call for the pacesetter style of leadership. An emergency situation may cause you to be coercive.

**ORGANIZATIONAL CULTURES AND NORMS.**—Civilian businesses provide a service or product to society. Since the products and services provided by businesses differ, the needs and requirements of their workers also differ. The same is true for the Navy. The Navy provides a service to its country. Each organizational level of the Navy performs a specific job or provides a product that contributes to that service. Therefore, the needs and requirements of the workers at each level also differ. This difference creates different work environments (cultures) and different relationships (norms) between the workers. The culture of your organization has a great impact on your leadership style. Your leadership style changes to fit the organizational culture of your work center. In short, you will change your leadership style to meet the expectations of your superiors.

**SITUATIONS.**—Specific situations determine your leadership style because each one could involve a different number of people and a different amount of pressure or stress. For example, you might use the democratic style when assigning a daily task because you would have time to explain the "why" of doing it. However, you would be unable to use that style during an emergency. Can you imagine explaining why you want the electrical power secured during a fire aboard ship?

## Management and Supervisory Skills

Maintaining an effective and efficient work center or division requires five management and supervisory skills. Those skills are a concern for standards, a concern for efficiency, planning and organizing, supervising for effective performance, and monitoring. Develop these skills in supervising your people.

**CONCERN FOR STANDARDS.**—Emphasize the importance of doing a job right and enforce high standards by doing the following:

- Ensuring tasks are done safely and according to regulations
- Seeing that required documentation is updated
- Being intolerant of poor performance

**CONCERN FOR EFFICIENCY.**—Define and organize each task to best use your work center's or division's time and resources as follows:

- Identify inefficiencies.
- Improve the efficiency of existing systems.
- Delegate tasks to improve efficiency.
- Encourage superiors to use efficient ways to accomplish tasks.
- Build preparations for inspections into the day-to-day routine of the work center or division.

**PLANNING AND ORGANIZING.**—Take the following steps to carefully and systematically develop thorough and specific plans and schedules:

- Set priorities, goals, and deadlines.
- Develop detailed, step-by-step plans.
- Develop schedules that optimize the allocated manpower.
- Coordinate schedules with others.
- Anticipate obstacles and plan accordingly.

Use the skills of planning and organizing to determine the status and impact of your division work on the work of other divisions. Become proficient in your planning of divisional work by applying the strategic, standing, and single-use plans discussed earlier in this chapter. Become efficient at setting goals, and then analyze your plans to reach those goals by using the SWOT analysis.

**SUPERVISING FOR EFFECTIVE PERFORMANCE.**—Get the best results from your subordinates by coordinating their actions. Set challenging standards and demand high levels of performance; then supervise your subordinates' performance as follows:

- Set and clearly communicate your expectations for the level of performance in your work center or division.
- State up front the consequences for violations of conduct or nonperformance.
- Hold subordinates accountable for poor performance.
- Match people and jobs to get the best performance.
- Promote cooperation and teamwork for effective performance.

**MONITORING.**—Develop the habit of routinely gathering information and keeping track of ongoing work to monitor work center progress by doing the following:

- Observe procedures and processes
- Monitor records, equipment, and resources
- Ask questions to assess the readiness of your subordinates.

Monitoring is a control function of management, as previously discussed in this chapter. You can use inventory control, one of the six types of quality control, or a control method such as the POA&M, the Gantt chart, CPM, or PERT to help you in monitoring.

## Effective Leadership

To be an effective leader requires certain skills. The Navy has identified six skills effective leaders

have in common. These skills are a commitment to the command's mission, self-image as a leader, communication, influencing, development of others, and a concern for subordinates. Let's look at how you should apply those skills in leading others.

**COMMITMENT TO COMMAND'S MISSION.**—Take the following steps to show subordinates you have a strong dedication to the Navy, the command, and the work center:

- Act with the best interest of the command in mind.
- Put the Navy, the command, and the work center needs above concern for any individual.

**SELF-IMAGE AS A LEADER.**—Identify yourself as a leader and a key factor in the successful performance of the command or work center as follows:

- Clearly define your role and responsibilities to both superiors and subordinates.
- See yourself as a leader.
- Set the example for subordinates.
- See yourself as someone who makes things happen.

**COMMUNICATION.**—Use the chain of command to provide and receive information to help all levels of the chain of command understand task-related issues more easily. Improve communication throughout the chain of command in the following ways:

- Keep others informed
- Give clear directions and assign specific responsibilities when delegating.
- Listen to suggestions from subordinates.
- Make yourself available to answer questions.

**INFLUENCING.**—Influence others toward task accomplishment by using a variety of strategies, such as the following:

- Persuading others by pointing out how they will benefit

- Using threats or your authority to influence others
- Presenting logical reasons or information to persuade
- Using the proper setting and timing for optimum impact
- Acting to motivate subordinates
- Giving reasons for your decisions
- Devising and using a strategy for influencing others

**DEVELOPMENT OF OTHERS.**—Use routine tasks to train division personnel to function effectively in your absence. Give enough guidance to the leading petty officer (LPO) to allow him or her to complete delegated tasks proficiently. Train the LPO to assume your job so that when his or her turn comes to make chief, he or she will be ready. Develop the performance of your subordinates through the following methods:

- Making training opportunities, different jobs, and expert help available
- Providing constructive feedback
- Using delegation as a tool to develop subordinates
- Using the opportunities presented by routine tasks to train subordinates

**CONCERN FOR SUBORDINATES.**—Actively support subordinates who must overcome problems by showing concern for them as follows:

- Expressing positive expectations
- Taking the action required to provide rewards, recognition, or special liberty for your subordinates
- Helping your subordinates in overcoming problems

### **Effective Personal Characteristics**

Successful chief petty officers exhibit certain personal characteristics that support command leadership and management policies. You should

develop these characteristics and make them part of your personality profile. Effective personal characteristics include concern for achievement, analytical problem solving, interpersonal awareness, initiative, persistence, and assertiveness.

**CONCERN FOR ACHIEVEMENT.**—If you have concern for achievement, you seek new challenges and work to reach higher levels of accomplishment. Four traits show you have a concern for achievement:

- Taking on new challenges with enthusiasm
- Trying to persuade your work center or division to outperform others or to exceed the set standard
- Assessing the work center's level of performance using comparative measures
- Feeling frustrated when situations or other people prevent you from completing your assigned task in a timely and effective manner

**ANALYTICAL PROBLEM SOLVING.**—Analytical problem solving involves analyzing complex situations and evaluating information to choose the best solution to a problem. The following are some traits you will exhibit when using analytical problem solving:

- Identifying the causes or central issues involved in a problem
- Weighing the pros and cons of each alternative course of action
- Drawing inferences and seeing the implications of problems and solutions
- Relating present situations to similar past experiences

**INTERPERSONAL AWARENESS.**—When dealing with subordinates with whom you have problems, try to anticipate their behavior before deciding on a course of action. Anticipating their behavior requires a sense of interpersonal awareness through which you gain insight into what is causing the behavior. The following traits show that you have a keen sense of interpersonal awareness:

- Thinking about the impact of your actions or the actions of other people
- Trying to assess the motives or perspectives of other people

**INITIATIVE.**—Taking the initiative means you are a self-starter who sees problems and takes action to correct them without being told. If needed, you take action to make changes in work center operations. You don't hesitate to investigate and tackle difficult situations. The following are some other traits that show you have initiative:

- Searching out information needed to accomplish tasks or make decisions
- Developing new plans, procedures, or systems
- Taking calculated risks
- Taking an active role in critical situations and exhibiting the pacesetter style of leadership when required

**PERSISTENCE.**—You show persistence when you expend extraordinary effort to complete a task or overcome an obstacle. You usually get your own way by showing persistence because people become tired of listening to you and will do anything to help solve your problem. The following traits show you are a person with persistence:

- Doing whatever is ethically needed to complete a job
- Taking repeated action to overcome obstacles and ensure your goals are met
- Making yourself and your subordinates available to work the hours needed to accomplish your goals

**ASSERTIVENESS.**—When you show assertiveness, you confront issues directly and insist others recognize your place in the chain of command. You do not become emotionally involved in stressful situations and show restraint when required. The following traits indicate you are a person with assertiveness:

- Addressing key issues and conflicts you have with other people
- Acting forcefully and with confidence when you are dealing with superiors or peers

- Always insisting on having full responsibility for each task you are assigned
- Demonstrating self-control in a conflict or when you are provoked

### **Total Quality Management (TQM)**

A major problem facing the armed services today is a lack of money. The budgets of our forces are not going to increase in the foreseeable future. Indeed, they will probably continue to shrink. Although our present system of doing business is adequate, it doesn't allow for many improvements in productivity. We have done an excellent job with our present system. To wring any more bang from our buck, however, will mean a change in the way we do business.

Management by objectives is a time-honored principle of management. However, we now must change our objectives. Today's managers must set their sights on a larger, system-wide objective. That objective is increased productivity through better quality.

The Department of the Navy (DON) has recently adopted the concept of Total Quality Management (TQM) as the means of meeting DON needs into the 21st century. Executive Order 12637, signed April 27, 1988, establishes the Productivity Improvement Program for the federal government. TQM IS THE NAVY'S ANSWER TO THAT ORDER. The Navy has adopted the civilian TQM concept and changed the name to a more military sounding name—Total Quality Leadership (TQL)

### **TQM, What Is It?**

TQM focuses on the process by which work gets done. The person most familiar with that process is the individual worker responsible for making it work. Often, a process is either unmanageable or just plain unworkable. In a rigid bureaucracy, for workers to persuade upper echelons of a need to change a procedure is nearly impossible. Under TQM, management is responsible for making a particular job as easy as possible for workers. Supervisors and managers monitor the work process and respond to suggestions from the work force concerning unworkable procedures. Sailors in particular are infamous for coming up with nonstandard (but workable) solutions to problems. In some cases, this results in unsafe practices. However, these solutions are often extremely practical. We must

develop the ability to ferret out these improvements and incorporate them into standard procedures. That serves a dual purpose. First, it ensures the recommended improvement is usable and meets all applicable standards. Second, the improved method is made available to everyone involved in that process. Both of these purposes serve a practical application of "working smarter, not harder."

### **Benefits of TQM**

A popular myth among military managers holds that increased quality results in increased costs and decreased productivity. In reality, improved quality ultimately results in decreased costs and increased productivity. How can this be? A focus on quality extends the time between failures on equipment and improves the efficiency of our operations. It reduces rework requirements as well as the need for special waivers of standards. It also reduces mistakes and produces monetary savings through more efficient use of scarce resources.

Direct benefits of TQM are as follows:

- Increased pride of workmanship among individual workers
- Increased readiness
- Improved sustainability caused by extended time between equipment failures
- Greater mission survivability
- Better justification for budgets because of more efficient operations
- Streamlined maintenance and production processes

The bottom line of TQM is "more bang for the buck."

### **The Concept of Quality Management**

The concept behind quality management revolves around a change from management by results to management by process (quality) improvement. Managers are tasked with continuously improving each and every process in their organization. That means combining quantitative methods and human resource management techniques to improve customer-supplier

relations and internal processes. This cultural change in management practices has certain basic elements:

- Management must clearly state the organization's mission. It must state the mission clearly and make it available to all employees, suppliers, and customers. A clear, public-mission statement prevents individuals from generating their own definitions of work priorities.
- Managers and supervisors must ensure their actions clearly support the organization's mission. This support includes setting priorities and assigning tasks.
- Management must focus its efforts toward a common goal. This focus is an important part of team building.
- Management must make a long-term commitment to quality improvement. Individual managers must set an example by providing consistent, focused leadership.

### **TQM Focus on Process**

Quality management achieves results by focusing on the procedures and processes that get the work done. Under TQM, management must strive continuously to improve the work process. The primary emphasis of this effort is the prevention of defects through quality improvement rather than quality inspections. Quality cannot be inspected; it must be managed from the beginning. Conforming to established specifications is only part of quality improvement. Management must not be satisfied with minimum standards. As standards are met, we, as managers, must look for new ways to improve our product. Find the means to further tighten standards and improve quality. That's your job.

### **Customer-Supplier Relationship**

Another aspect of the TQM concept is the necessary relationship between customer and supplier. No matter what your job, it probably involves a customer-supplier relationship. The Intermediate Maintenance Department of a command is a customer of and supplier to the Supply Department. Aircraft squadrons and supply departments have the same dual roles. At one point, a supply department must establish a

working arrangement with a squadron that clearly defines each department's needs and realistic expectations. A career counselor must ensure customers' needs are met. On the other hand, customers must have a realistic understanding of the service the career counselor can render. This mutual understanding of needs and capabilities is needed to achieve customer satisfaction.

### **Leadership and TQM**

The essential ingredient of TQM success is leadership involvement. Management controls the process that accomplishes the mission. Quality, however, is in the hands of the workers who do the job. Management, therefore, has the responsibility to drive out the natural fear of change and innovation that is part of most people's basic psychology. TQM must be supported from the top down. That doesn't mean the department head level. TQM must start with SECNAV/CNO-level support and be supported and carried out all the way to the bottom of the chain of command. From admiral to deck seaman, TQM requires a total effort.

### **SUMMARY**

Effective management involves the use of planning, staffing, controlling, organizing, and leading. Planning is the use of strategic plans, standing plans, and single-use plans. Effective planning requires you to determine work requirements; set priorities; and use the strengths, weaknesses, opportunities, and threats (SWOT) analysis.

Staffing is a means by which you match the correct person to the job for optimum performance. You should continually evaluate your personnel needs and make sure documentation is updated when subordinates complete personnel qualifications standards.

You use control to monitor your division or work center. Types of control include feedforward, concurrent, and feedback. Control also includes inventory control and quality control. Types of quality control include feedforward, concurrent, feedback, statistical, quality circle and zero defects. Methods of control include the plan of action and milestones, Gantt chart, program evaluation and review technique (PERT), and critical path method (CPM). Elements of effective control are activities, timeliness, effectiveness, accuracy, and acceptance.

Organization refers to the relationships of people within the command or work center. The types of organization common to the Navy are line, staff, and functional organizations. Organization functions are based on organizational concepts. The Navy uses the organizational concepts of the chain of command, unity of command, span of control, and specialization.

The delegation of work is an important part of management and leadership. Delegating work frees you to concentrate on the most important tasks and trains your subordinates for higher levels of responsibility.

The Navy recognizes three types of authority: line, staff, and functional. Authority involves six types of power: *reward*, *coercive*, *legitimate*, *informational*, *referent*, and *expert*. Your power is limited by the perception subordinates have of you. Misuse of power for personal gain can render you ineffective.

Leadership involves influencing others toward accomplishing goals. You may use one or more of the six leadership styles: coercer, authoritarian, affliator, democratic, pacesetter, and coach. You will find each leadership style effective when matched with the proper situation.

The Navy used to manage tasks and people based on Management by Objectives (MBO). Today the Navy has made a commitment to a management program called Total Quality Management (TQM). The Navy has changed the

name to Total Quality Leadership (TQL). The basis of TQL is quality control. Through TQL, your work center or division can provide outstanding service to the person or organization receiving your products.

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Although the words “he,” “him,” and “his” are used sparingly in this manual to enhance communication, they are not intended to be gender driven nor to affront or discriminate against anyone reading this text.

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# CHAPTER 4

## MANAGEMENT INFORMATION

### LEARNING OBJECTIVES

Upon completion of this chapter, you should be able to do the following:

1. Explain the procedure for preparing and submitting a budget request.
  2. Recognize the steps involved in effective goal setting.
  3. Identify the supervisory responsibilities for maintenance and material management.
  4. Explain the procedure used in counseling personnel.
  5. Recognize the procedures for staffing and evaluating personnel.
  6. Describe how to prepare and present a brief.
  7. Describe how to review naval correspondence and messages.
  8. Identify the steps used to review and submit corrections to the command *Standard Organization and Regulations Manual (SORM)*.
- 

This chapter begins with a description of the budget process. You will then be shown how you can influence the local budget process through preparation of a divisional budget. The divisional budget will then be discussed as a control device to reach divisional goals and objectives.

Supply is an important part of your job as a chief. You are responsible for the procurement, care, preservation, stowage, inventory, and disposal of stores, equipment, and repair parts. Along with supply responsibilities, you are also responsible for supervising the maintenance and material management (3-M) systems in your division. Both of these areas are interrelated and will be discussed.

Counseling personnel is an important supervisory role the chief becomes involved in. You will be expected to counsel personnel in professional, personal, and performance matters. You will perform the staff function of management by interviewing, assigning, and evaluating division personnel.

You will become more involved in the communication process as your responsibilities increase. You should be familiar with how to

prepare and present a military brief. You should also have a working knowledge of naval correspondence and messages.

The last topic discussed in this chapter is your role in reviewing and submitting changes to the command's *Standard Organization and Regulations Manual (SORM)*.

### PREPARING AND SUBMITTING A BUDGET REQUEST

Preparing and submitting a budget request is a form of long-range planning. The Navy budget year runs from 01 October through 30 September. You should plan your divisional budget for the same period of time. This 1-year plan will allow you to schedule important events your division will be involved in such as overhauls, intermediate maintenance availabilities, and special projects. You can also determine your budget using the plan of action and milestones, program evaluation and review technique (PERT), or Gantt charts as discussed in chapter 3. This section of the chapter will examine the budget process, preparation of

the divisional budget, divisional goals and objectives, and different types of budgeting.

## THE BUDGET PROCESS

The budget process starts when the President submits his budget to Congress in mid-January. Congress can accept the budget as is, or make changes to the budget through a series of Congressional committees. Congress develops a budget resolution or an outline of the budget with spending targets set. Next, Congress passes an authorization bill which gives authorization to the various programs in the budget. Still, no money has been allocated. Money is allocated by the appropriations bill. The appropriations bill gives money to the various programs authorized under the authorizations bill. Once given both authorization and appropriations, the Navy can begin to spend money. Sometimes Congress will authorize a program but not provide appropriations. Congress can also provide appropriations but not

authorize the program. The Navy's A-6F Intruder is an example of a program that was appropriated but not authorized.

The next step in the budget process is called execution. Execution is when the Navy can actually spend money. During execution, apportionment takes place. Apportionment is when the Office of Management and Budget (OMB) places the Congressionally appropriated funds into the Navy's account. See figure 4-1 for the fund flow of the operation and maintenance account.

The cost center or operating target (OPTAR) holder at the bottom of figure 4-1 is your ship, squadron, or unit. Your commanding officer is responsible for ensuring the OPTAR is met. He also must make periodic reports to the type commander showing the status of the ship or unit funds.

The Navy recognizes that commanding officers need help in administering their budget. Comptrollers or budget administrators, depending on the size of the command, are assigned to assist

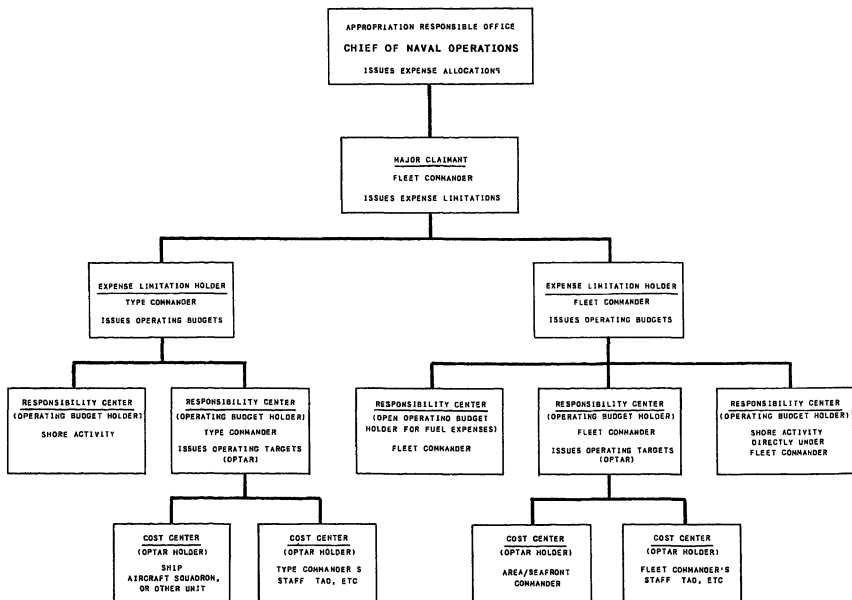


Figure 4-1.—Fund flow for operation and maintenance.

the commanding officer in the accounting and reporting of expenditures. Commanding officers usually delegate the authority to approve expenditures to the department head.

We have now arrived at the point in the budget process where you become involved. Department heads, like commanding officers, need help in identifying budget priorities. Division officers and leading chief petty officers need to determine both the long- and short-term needs of their division. *Some of the factors you should consider when planning a budget are as follows:*

- The number of personnel assigned, planned losses, leave schedules, and school assignments.
- Unit operating schedule, scheduled regular overhaul, maintenance availability, and scheduled inspections.
- Can your division do the work or be trained to do the work? Should you have an intermediate maintenance activity, shipyard, or contractor do the work?
- Availability of OPTAR funding, or the availability of special funding provided by type commander (TYCOM) or higher authority.

## **PREPARATION OF THE DIVISIONAL BUDGET**

In preparing the divisional budget, you must have an idea of the command and departmental goals and objectives. A good place to start is the command's five-year plan. The period 01 October through 30 September in the coming year should indicate upcoming events with a fair degree of certainty. The events indicated are the upcoming goals that the command must meet. Budget these items first. Remember that the budget is a control device used to measure performance and includes manpower, material, time, and cost.

Next, budget the command objectives. The objectives could be receiving the Golden Anchor Award, the Meritorious Unit Citation, or passing all inspections with no major discrepancies. Talk with the division officer, department head, and command master chief to find out what the objectives are and what you need to do to meet them.

You should have a feel for what type of repairs will be necessary in your division in the coming

year. Things like replacing bunk curtains, mattress covers, lagging, and tile or painting are routine tasks that should be budgeted to make sure funding is available. Other types of periodic repairs include time-based maintenance. Engines, pumps, and life critical systems are examples of items to be replaced on a recurring basis. Certain operating equipment has a life cycle. Items such as typewriters, computers, and printers need to be replaced every 3 to 5 years.

The last items to budget are non-essential items. These are things you would like to have if the money is available, but could live without. Examples include replacing worn but serviceable furniture or purchasing servmart items in excess of absolutely essential quantities.

The remainder of this section will be devoted to divisional goals and types of budgeting. An understanding of these two topics will assist you in the preparation of your budget.

## **Divisional Goals**

Knowing the divisional goals is essential to effective supervision of your division. Many of the goals will be imposed by the department head, commanding officer, or higher authority. Again, look to the five-year plan, yearly plan, and quarterly plan to define goals of the command. Your goals should be the same as those for the command.

Examples of concurrent goals include passing a supply department inspection even though you are in engineering department. How? you might ask. You could assist supply by making sure your pre-expended bins have the required number parts, your ready service spares are accounted for, and you have turned in all required repairable items that you are accountable for. Another example is helping the medical department pass their inspection. Have all of your subordinates had their shot records updated? Have all medical records been returned? You get the idea. Your division plays a role in assisting other divisions and departments meet their goals.

**DEVELOPING** —Why should you develop divisional goals if the Navy and the command have already established them for you? The Navy and command goals discussed in this chapter and chapter 3 have been part of "the big picture." That is to say, they are broad and general in nature. To help the Navy and command reach their goals, you should focus on the specific steps you need to take within your division.

Periodically, you and your division officer should discuss the division's progress toward the division's goals. And every year before submitting your budget, you should decide on where to focus your energies in the coming year. Do the strengths, weaknesses, opportunities, and threats analyses for your division. This is the first step in preparing your budget.

**ESTABLISHING.**—You and the division officer have now identified the areas of your division that require attention. Now you should prioritize your goals. Obviously, high-priority items will need the greatest resources and attention. This is where you and the division officer need to make some sound decisions.

If at all possible, have your subordinates contribute to the planning during this stage. Present what you and the division officer perceive as problems and let the subordinates present solutions. Subordinates are closer to the work and may identify additional problems and alternatives that you and the division officer may have overlooked. This process lets the subordinates become involved and personalizes the goals.

You and the division officer should evaluate the problems and proposed solutions. Select the best solution for each problem and re-prioritize the goals if required. Place your goals in writing and post them where your subordinates can see them. Communication of goals and priorities is extremely important to your success.

At this point you know what you want to do, how you want to do it, and the priority you have set. You should now budget time, materials, people, and costs to meet your goals. This is the second step in preparing the divisional budget.

The third step in preparing your budget is to examine recurring cost. You should be able to produce a fair estimate for the cost of necessary supplies, repair costs, and so forth, that have occurred over the last 3 years. The supply officer can supply the information required.

The fourth step in preparing your budget is to combine the cost of reaching your goals with your recurring costs. You are now ready to submit your budget request to the department head. Goals, objectives, recurring costs, and priorities should be outlined to provide the department head with the ammunition required to achieve the desired level of funding for the coming year.

You and the division officer should reevaluate your goals after the command has decided on funding. Unfunded goals and objectives may require initiative and resourcefulness on your part

if they are to be achieved. The importance of establishing your divisional goals has been achieved. You now have set a course of action and a method to measure your progress.

**MONITORING.**—The final step of the budget process is to use the budget to monitor divisional progress throughout the year. Monitoring is important because it lets you know when to shift resources. Monitoring can be done by any number of control types or methods, such as feed-forward, concurrent, feedback, inventory control, or quality control.

### **Types of Budgeting**

Two types of budgeting are in use in the Navy. You will find it useful to use both types in estimating your annual budget.

**INCREMENTAL.**—Incremental budgeting is the primary budget used by the Navy. You have a certain amount of money as a beginning budget and then increase the amount of money received in later years. A good way to visualize this type of budget is to think of the budget as increasing by the amount of inflation each year. The incremental factor could be tied to growth, operating schedule, increase in personnel, or any number of factors that may increase (or decrease) the amount of funds budgeted.

In your budget, the incremental method of budgeting would apply to your recurring cost. As the cost of inflation drives up the cost of consumable and repair parts, your budget would increase to match inflation.

**ZERO-BASED** —The Navy uses zero-based budgeting when figuring the cost of major material purchases, such as a ship or airplane. Congress authorizes and appropriates the money in the first year, and then the Navy is able to make a draw against the account to pay for work being done. This type of budget eliminates worry that an authorized purchase will not have appropriated money in follow-on years.

In general, zero-based budgeting is starting from zero every year and figuring out the cost of doing business in the coming year. The disadvantage of this type of budget is the great deal of time and accuracy required to perform economic forecasting analysis so that all expenses can be predicted.

You should use this type of budgeting for one time expenses. The divisional goals and objectives

that are not of the recurring type would fall into this category.

### **SUPERVISING RESPONSIBILITIES FOR STORES, EQUIPMENT, AND REPAIR PARTS**

As you already know, all petty officers need some knowledge of supply procedures to help them function effectively with the supply department. As a chief petty officer, you will find yourself with greater supply-related responsibilities; therefore, you will need additional knowledge of the supply organization and procedures.

In the past, you needed to know how to identify material and how to complete a requisition form. You also needed a knowledge of the ship's Coordinated Shipboard Allowance List (COSAL) to determine what materials were required to complete a job. You may have been responsible for the stowage and custody of various materials in your department. In the future, you will be working closer with supply department personnel in estimating supply needs and providing the input data needed for procurement.

You have probably participated in departmental preparation for a shipyard overhaul, including validation of installed equipment. As a CPO, you could become a member of an integrated logistics overhaul (ILO) team during a period of shipyard availability. If so, you will contribute to the process that the supply department uses to ensure your ship's material readiness when it goes to sea after overhaul.

This section does not attempt to make you an expert in supply—we will leave that detail to the Storekeeper. It does, however, provide information to expand your knowledge of the supply organization ashore and afloat. This section also outlines the procedures and steps of the various operations that you are expected to follow when dealing with supply department personnel.

### **SUPPLY DEPARTMENTS**

Supply departments ashore and afloat are responsible for the supply support of the activity or ship. The supply department procures material; maintains storerooms and warehouses; and issues, accounts for, and collects analytical data for all the material under its cognizance. The supply department is responsible for establishing the local requisitioning channels and procedures.

Ashore, standardizing supply procedures is difficult because of the physical layout of a station and the variety of missions assigned to a station. Therefore, a good deal of freedom is given each command to choose the supply procedures that best meet its needs. Aboard ship, procedures are becoming more standardized because of the adoption of the Ships' Maintenance and Material Management (3-M) program; however, some variations between ships still exist.

You must become thoroughly familiar with local instructions that detail the various procedures for supply support. An understanding of these instructions will answer most questions about the relationship and responsibility between the supply department and the customer.

### **Supply Departments Ashore**

A supply department, like all other departments ashore, is organizationally composed of several divisions, branches, and sections. Only the organizational components that are of primary interest to you (the customer) are discussed here. The components of the supply department you will have the most contact with are the control division, material division, and retail issue organization. The retail issue organization (usually a component of the material division) is treated separately here because it is the most frequent point-of-contact between you and the supply department.

**RETAIL ISSUE ORGANIZATION.**—Most shore activities have supply support responsibilities for multiple departments and units, and frequently have off-station support responsibilities. To meet the requirements of on-station customers, the Navy has established a retail-issue organization. This organization may be found ashore in the form of a shop store, a self-service store, a rapid communication and delivery system, or a combination of these services. The objective is a ready supply of materials and simplified issue procedures that will provide quick delivery of material requirements to the customer.

**Shop Stores.**—Shop stores are usually established to support some type of specialized operation, such as public works activities and ground electronics shops. The shop store is a storeroom located close to the user activities. Shops that are widely dispersed may have several shop stores. These stores are stocked with items normally used by the shops being supported.

Most shop stores use simplified issue procedures that require a minimum of paperwork by the customer. Typically, the customer tells the Storekeeper in the shop store what item is needed. The Storekeeper issues the material and prepares the requisition. The customer receives the material and returns to work. The remainder of the paperwork is completed by the shop store supply personnel.

**Self-Service Stores.**—Self-service stores are commonly referred to as servmarts. They are normally established to furnish nontechnical types of materials, such as office supplies, tools, and janitorial supplies. These stores are operated on a self-service basis that permits the customer to select material from shelf stock. The customer presents a requisition in payment at a checkout counter for the materials selected. The customers can shop at their own convenience, selecting substitute items for those items that are temporarily out of stock.

**Rapid Communication and Delivery Systems.**—Rapid communication and delivery systems are established on several shore stations. Customers use the telephone or some other rapid communication system to request needed material. The material is then delivered to the work area. This type of system is commonly established to support the aviation maintenance program at naval air stations.

**MATERIAL DIVISION.**—The material division is concerned with the physical handling of the supply department's stock of materials. This division maintains warehouses and storerooms and receives, stores, and issues material. The labor and equipment branch of the material division is responsible for all material-handling equipment, such as forklifts, trucks, and trailers.

When a retail issue organization is not established, all material is issued from warehouses or storerooms operated by the material division. The customers should become familiar with the types of materials that are stored in each warehouse or storeroom.

**CONTROL DIVISION.**—The major component of a control division is the stock control branch. If a retail issue organization cannot provide the requested material, the stock control branch will forward your requisition to the main supply department for procurement action. In the

supply department, the issue control branch maintains records of each requisition received and the action taken. This allows you to trace a requisition for material that has not been received.

The stock control branch is responsible for maintaining stock records and assuring adequate stock levels to support station operations. Any information that would alter the material requirements for future support should be brought to the attention of this branch.

The receipt control branch monitors and expedites material from outside sources. The method used to receive or transmit information to these various supply internal components is usually found in a local instruction.

## Shipboard Supply Departments

Supply departments afloat are generally organized into five divisions: S-1 through S-5. The S-1 division (stores division) is the only division discussed here; the other divisions are concerned with food service, disbursing, ship's store, and the wardroom. Depending on the ship's size, it could have additional supply divisions. For example, on a large ship such as an aircraft carrier, S-6 provides aviation stores, and S-7 is the data processing division.

**STORES DIVISION.**—The stores division orders, receives, stows, and issues general stores and repair parts and maintains related records. Under the Ships' Maintenance and Material Management (3-M) program, a supply support center may be established within the stores division as a single point of contact between supply and maintenance personnel. The specific duties of a supply support center are detailed in the *Ships' Maintenance and Material Management (3-M) Manual*, OPNAVINST 4790.4B. Generally, the supply support center receives requests and provides material identification and status information.

In ships without a supply support center, these duties are normally performed by storeroom personnel and the supply office. The supply office further processes requisitions for "not carried" and "not in stock" items and furnishes status information to the customer.

**MATERIAL CATEGORIES.**—Let us briefly review the categories of material for which the supply department afloat is responsible.

*Equipment* includes any functional unit of hull, mechanical, electrical, electronic, or ordnance types of materials that are operated independently or as a component of a system or subsystem; it is identified by an Allowance Parts List (APL) number. Examples of equipment are the ship's sonar and radar, the anchor windlasses, and the main reduction gears.

*Equipage* is a general term that includes items of a durable nature listed in the Equipage Category Numbered Allowance Parts List, Allowance Equipment Lists, or other authorized listings issued by appropriate authority. Equipage does not encompass installed electronic, electrical, mechanical, or ordnance equipment, components, or systems. These items are considered to be equipment. Equipage consists of items such as fire hoses, nozzles, applicators, anchors, anchor chains, chain stoppers, and bulkhead fans.

Some selected items are termed *Controlled Equipage* and require increased management control because they are expensive, vulnerable to pilferage, or essential to the ship's mission. A list of these designated items can be found in *Afloat Supply Procedures*, NAVSUP P-485.

*Repair parts* are any items, including modules and consumable material, that have an equipment application and appear in an Allowance Parts List, an Allowance Appendix Page, a Stock Number Sequence List (SNSL), an Integrated Stock List (ISL), or a manufacturer's handbook.

*Consumables* are administrative and housekeeping items, such as general-purpose hardware, common tools, or any other items not specifically defined as equipment, equipage, or repair parts.

Some *services* are also procured by the supply department for the ship. They include such requirements as commercial telephone service, pilotage, tug hire, repairs of office equipment, and the rental of certain types of equipment.

Some material is NOT controlled by the supply department. Certain material categories afloat are not under the control of the supply department. They include the following items:

1. Ammunition and ammunition containers are the responsibility of the ship's weapons officer.
2. Nuclear weapons obtained through operational channels are the responsibility of the weapons officer.

3. Medical stores, including drugs and pharmaceutical supplies, surgical instruments, and other professional medical equipment are the responsibility of the senior medical representative. The supply department procures medical supplies and equipage, but has no responsibility over inventory control.
4. Marine Corps stores (when a Marine Corps detachment is aboard) is the responsibility of the officer in charge of the detachment.

## DETERMINATION OF REQUIREMENTS

The supply officer is responsible for maintaining stocks of general stores, subsistence items, ship's store, and clothing store stocks. These stocks should be maintained at levels sufficient to meet probable demands and within limits established by operations plans. Therefore, the supply officer, with other supply personnel, should be able to accurately determine the requirements for these items.

The supply officer is jointly responsible with each department head for maintaining a full allowance of equipage on board. Because of maintaining the equipage records, the supply officer exercises control over the overall ship's equipage allowance; however, the supply officer should be advised by the heads of departments of known or anticipated requirements and replacements.

Most repair parts are in the custody of the supply officer. The supply officer is responsible for submitting replenishment requisitions to replace material that has been issued. Department heads are responsible for submitting a NAVSUP Form 1250-1 requisition to the supply officer each time a repair part is needed. Department heads expect your cooperation in maintaining records and anticipating requirements.

## Factors in Determining Requirements

Before the types and quantities of items carried can be determined, a desired endurance should be established for general categories of material. *Endurance* is the period of time required for a ship to use a definite quantity of supplies. Endurance is based on the amount of available storeroom space and the allocation of that space among the types of stores. The space is then converted to the number of days that the ship can be maintained by capacity loading. The supply

officer normally tries to equalize the endurance of the various types of stores.

The storerooms are not necessarily loaded to maximum capacity, since endurance limitations are set by various commands. These limitations are expressed as the actual number of days of endurance and are applied to individual items rather than to types of stores. For example, if the supply officer wants to stock the storerooms at a 90-day endurance level, one requisition for a 90-day supply of general stores cannot be submitted. Each item must be reviewed to determine a sufficient quantity to last the ship for 90 days.

Another factor supply personnel must consider is the total weight limitation of stores that may be brought aboard. Each ship is allowed a specific weight limitation so that it can maintain proper stability and buoyancy.

When the desired number of days of endurance has been reached for a type of store, then that endurance is converted into quantities of individual items.

**AVAILABLE SPACE.**—The amount of storage space available for an item is an obvious limiting factor. You cannot stow 100 cubic feet of material in a 50-cubic-foot space. For this reason, some extremely bulky items may have to be carried in a quantity less than the desired level and reordered frequently. On the other hand, items of low cost and low bulk may be carried at a high level to reduce the time spent in ordering and stowing.

**PERISHABILITY.**—Highly perishable items may also be stocked at a lower level than otherwise desired so that deterioration is kept to a minimum.

**SHIP'S EXPERIENCE.**—The most accurate guide in the determination of requirements is past stock records. You adjust the figures obtained from past usage to cover a specified period in the future. For example, a 3-month endurance rate is computed as follows:

Fast-moving items—multiply the past month's usage by 3.

Slow-moving items—divide the past 6 months' usage by 2.

**ALLOWANCE LISTS, INITIAL OUTFITTING LISTS, AND USAGE DATA TABLES.**—Allowance lists, initial outfitting lists, and usage data tables are prepared to help supply officers of new or recommissioned ships determine quantities of supplies to stock. Since these ships have no prior usage to rely on, these lists and tables help you and the supply department determine requirements for consumable supplies, subsistence, and ship's store stock. These lists provide restrictive controls on the types and quantities of equipment allowed and serve as guides for types and quantities of supplies required. Allowance lists as used here do not include the COSAL Stock Number Sequence List—Storeroom Item (SNSL—SRI) for repair parts.

**SHIP'S OPERATIONS.**—Operating factors may require the review of stock records and the reevaluation of the requirements for some or all items stocked. These factors are the expected length of a cruise, type of operation (combat or training), expected climate during the operation, and available supply support.

If the length of a cruise is less than the normal endurance load, no major adjustment is necessary. However, if the operation is expected to last longer, the ship's stock of fast-moving and essential items is reviewed to determine if an increase is needed.

A ship rescheduled from a hot or temperate climate to an arctic climate should review materials needed for cold-weather operations.

An important factor to consider when the ship is preparing for deployment is the availability of supply support during the cruise. Will your ship be operating independently? Will it be in the company of similar ships? Can your ship obtain materials from mobile logistic support ships or ashore activities? All of these questions must be answered before you can determine the division or department requirements. You will usually find this information in the operations orders.

**ADVICE OF DEPARTMENTS.**—Your department may require special material or an item in a greater quantity than is usually stocked in the storeroom. For example, electrical fittings are replaced periodically for general station or ship's maintenance. Average usage of these fittings may be 16 per month. By using the formula described,

the supply officer can easily calculate the number of fittings to maintain in stock. If, however, all of these fittings are being replaced by new and more reliable fittings, you should inform supply of this requirement before the need arises. The new fittings can then be stocked before a work delay results because of a lack of parts.

To carry this one step further, assume that these new fittings are significantly more reliable and that the replacement requirement is expected to be only one per month. The supply department can then reduce the number of fittings needed for endurance. On receiving this information, the supply department will purge its stock of the old type of fitting and establish a realistic stock of the new item.

### **Routine Requirements**

Most material procurement falls under the heading "routine requirements." The factors discussed above apply chiefly to new ships and to special circumstances. The requirements for an item are initially established when a ship is commissioned or when the item is first stocked. Requirements are reestablished each time your ship undergoes supply overhaul.

**OPERATING SPACE ITEMS** —Generally, each department is not required to estimate future requirements for repair parts and consumables. Normally the supply department replenishes stocks either on the basis of authorized allowances or on past demand history. An exception is the replenishment of operating space items. These are items (for example, hand-tools and test kits) that are required to maintain installed hull, mechanical, electrical, and ordnance equipment. These items support the mission of the ship. Department heads are responsible for requesting these items for known requirements, but they are not authorized to maintain storeroom stocks that duplicate those of the supply department. Part IIIB of the COSAL is a consolidated list of operating space items.

**MAINTENANCE ASSISTANCE MODULES (MAMs).**—Maintenance assistance modules are in the custody of the cognizant department head and located in the appropriate operating and maintenance spaces under the subcustody of the operating or maintenance personnel. MAMs are

used in the troubleshooting of electronic equipment and are not intended to be used as a repair part.

**READY SERVICE SPARES (RSS).**—Ready service spares are repair parts in the custody of the cognizant department head and will be located in the appropriate operating and maintenance spaces under the subcustody of the operating or maintenance personnel.

**SHIPS WITHOUT SUPPLY CORPS OFFICERS.**—Most ships have one or more Supply Corps officers assigned. Certain small ships, such as minesweepers, have no Supply Corps officer assigned. In this case a line officer heads the supply department. The line officer usually has other duties as well as supply duties, and general storerooms are usually small in ships of this type; therefore, more material is turned over to the cognizant department upon receipt for storage and custody. On ships without a Supply Corps officer, department heads are responsible for determining the ship's requirements for general stores. Each department head must submit a NAVSUP Form 1250-1 or DD Form 1348 to the supply officer for preparation of a DTO (direct turnover) requisition. Each department head is also responsible for maintaining current allowance lists of repair parts pertaining to equipment used by the department. The department head is responsible for maintaining an adequate stock of repair parts to support the equipment of the department. Each time a repair part is used, a NAVSUP Form 1250-1, DD Form 1348, or NAVSUP Form 1250-2 should be submitted to the supply officer so that a replacement can be requisitioned. Figure 4-2 shows both the Single Line Item Consumption/Requisition Document (Manual), NAVSUP Form 1250-1, and the DOD Single Line Item Requisition System Document (Manual), DD Form 1348. Figure 4-3 shows the Non-NSN Requisition, NAVSUP Form 1250-2. This form consolidates, on one form, information previously submitted on two forms (NAVSUP Form 1250-1 and DD Form 1348-6) for non-NSN requirements. You will play an important role in the reordering of these materials and parts.

**SHIPBOARD MATERIAL REQUEST PROCEDURES** —As the division chief you will be responsible for ensuring that the equipment under your cognizance is maintained and repaired in a timely manner. To accomplish this goal, you will need to obtain material from the supply

1 REQ DATE	2 DEPT NO	3 URGY	4 RDD	5 LOCATION	6 SM	NON-SM	7 ISSUEDATE	8 REQ NO
9 NOUN NAME OR REF SYM				10 APL/AEL/CID	11 INV DTY		12 NIS	N/C
13 JOB CONTROL NUMBER				14 WC	15 JSN	16 EIC		17 EQUIP COSAL SUPPLY D
18 SC				19 COG	20 MCC	21 STOCK NUMBER	22 PERIOD	23 INVENTORY
24 QUANTITY				25 UNIT PRICE	26 EXTENDED PRICE	27 FUND		
28 REMARKS								29 APPROVED BY.
30 RECEIVED BY								
1	2	3	4	5	6	7	8	9
10	11	12	13	14	15	16	17	18
19	20	21	22	23	24	25	26	27
28	29	30	31	32	33	34	35	36
37	38	39	40	41	42	43	44	45
46	47	48	49	50	51	52	53	54
55	56	57	58	59	60	61	62	63
64	65	66	67	68	69	70	71	72
73	74	75	76	77	78	79	80	81
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586	587	588	589	590	591	592	593	594
595	596	597	598	599	600	601	602	603
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631	632	633	634	635	636	637	638	639
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667	668	669	670	671	672	673	674	675
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685	686	687	688	689	690	691	692	693
694	695	696	697	698	699	700	701	702
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973	974	975	976	977	978	979	980	981
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1162	1163	1164	1165	1166	1167	1168	1169	1170
1171	1172	1173	1174	1175	1176	1177	1178	1179
1180	1181	1182	1183	1184	1185	1186	1187	1188
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1198	1199	1200	1201	1202	1203	1204	1205	1206
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1243	1244	1245	1246	1247	1248	1249	1250	1251
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NON-NSN REQUISITION (4491)																																																																	
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NAVSUP FORM 1250-2 (7-77) (2-85)

S/N 0108 LF 501 2530

Figure 4-3.—Non-NSN Requisition, NAVSUP Form 1250-2.

Table 4-1.—Table for Determining a Priority Designator

TABLE RELATING F/AD AND UND TO PRIORITY DESIGNATORS					
	F/AD				
	I	II	III	IV	V
URGENCY OF NEED DESIGNATOR (UND)	PRIORITY DESIGNATOR				
A (UNABLE TO PERFORM)	01	02	03	07	08
B (PERFORMANCE IMPAIRED)	04	05	06	09	10
C (ROUTINE)	11	12	13	14	15

department. Although each ship will vary slightly in procedure, standard forms and data requirements are the same throughout the Navy. In this section we will address only those standard items that are required by the supply system.

When you request material from a shipboard supply department, the standard method is to use either a NAVSUP 1250-1 (Single Line Item Consumption/Requisition Document) or a DD Form 1348 (Single Line Item Requisition System Document). The specific requirements for, and the use of, each document vary between ship types, however, each type has basic similarities (fig. 4-2).

When requesting standard stock material to perform a maintenance action, you will find numerous data requirements are necessary for all ship types. These requirements include a valid job control number, a national stock number (NSN), unit of issue, quantity, unit price, and approval for procurement. Once this information has been entered, either manually or through an automated system, locally defined supply channels should be followed. To clarify procedures, you need careful liaison with the leading Storekeeper. Many times in your dealings with supply, you have a requirement for nonstandard (non-NSN) material. Several different methods are used by the supply department to procure your material, but the best and most cost effective is through pier-side

procurement. Pier-side procurement has been established at most major naval stations and is a quick and easy method of obtaining material. Highly trained and responsive personnel with necessary experience and resources are available to expedite shipboard requirements. As a work center supervisor, you will need to define your requirements very carefully to assist procurement personnel. Poorly written and/or vague requisitions can slow down the process and lead to delays, cost increases, or procurement of the wrong material. The NAVSUP Form 1250-2 (Non-Stock Requisition) is used for obtaining materials that do not have an NSN (fig. 4-3). When preparing the identification data section of this form, you cannot be too specific or provide too much information. A Form 1250-2 that is properly filled out is your best tool to ensure speedy, accurate and cost-efficient procurement. A DD Form 1348-6 can be used instead of a 1250-2.

**MATERIAL OBLIGATION VALIDATION (MOV).**—A material obligation validation (MOV) is a procedure used by the supply department on a monthly basis to ensure that their outstanding requisitions are valid. As a work center supervisor, you will have a good deal of input into this process. The overall purpose of this procedure is to ensure that each outstanding requisition is needed so that unnecessary requisitions can

cancelled and the money reclaimed. The supply department allows you to review their material outstanding file to compare it with your known valid requirements. You should advise supply personnel of those items required, those received, and those to be cancelled. After that, supply personnel will reconcile their records and take steps as necessary to cancel, complete, or follow-up on your requisitions.

Your role as a CPO is critical, for you know the requirements of the work center and can best determine requisition validity. Close cooperation with supply department personnel is necessary to ensure the accuracy of the MOV procedure. Your leading Storekeeper is best qualified to advise you of time schedules and local procedures.

## PRIORITIES

You should already know how to identify materials, fill out requisition forms, and submit them to the supply department. The department head is responsible for the assignment of priority designators to these requisitions. Priority designators are assigned according to the Uniform Material Movement and Issue Priority System (UMMIPS), which carefully defines the determining factors. The system places the responsibility directly on the commanding officer of the requesting activity for the integrity of the priorities assigned; however, the commanding officer usually delegates this authority to the supply officer. This system should make the assignment of inflated priorities rare and ensure a feasible priority system.

Two factors determine which of the 15 available priorities will be assigned to each requisition—the military importance of the activity and the urgency of the requirement. Each ship or activity is assigned a force/activity designator (F/AD), which indicates its military importance relative to other ships and activities. This assignment is made by higher authority (type commander, fleet commander, and so on). The department head is responsible for assigning the correct urgency of need designator (UND) to each material request. By using the F/AD and the UND, the supply department is able to assign the proper priority designator.

Table 4-1 lists the F/ADs (shown in Roman numerals) across the column heads and the alphabetical UNDs in the first column. The Roman numerals represent categories of activities in descending order of military importance,

ranging from the combat forces under I to the miscellaneous activities under V.

The letters in the first column of table 4-1 represent different degrees of urgency in descending order of need, from an unable to perform status (A) to routine stock replenishment (C). The urgency category is selected by the requesting activity. It indicates relative urgency of need for a requirement by a force or an activity.

Categories of each alphabetical designator are defined in the following paragraphs. Only general categories are covered. A complete listing may be found in *Uniform Material Movement and Issue Priority System (UMMIPS)*, OPNAVINST 4614.1F. In each case, the alphabetical designator preceding the category refers to the applicable UND column heading shown in table 4-1.

## UND

- A The activity or unit is unable to perform its mission. The equipment or part is needed immediately.
- B Repair parts or equipment is required immediately. Ship operation is impaired without it.

Stock replenishment requirements of mission-essential material in fleet ballistic missile (FBM) submarine tenders are below the safety level and are expected to reach a zero balance before receipt of the material.

COSAL-allowed reactor components, equipment, tools, and other materials are required to support reactor plant systems

- C Stock replenishment and normal supply requirements are routine. Material is required to meet scheduled deployment.

NOTE: Additional urgency of need designators (UND) may be found in *Afloat Supply Procedures*, NAVSUP P-485.

## RECEIVING AND INSPECTING

Before accepting material purchased from commercial sources, naval activities inspect the material to ensure that it conforms to the specifications included in the purchase documents. The receiving supply officer inspects the material for quality and quantity before payment is made.

Shore activities usually have a material inspection section within the material division, established to perform or coordinate such inspections. When technical material is received, the material inspection section will often request that a qualified representative from a using department perform the quality inspection. You will be called on frequently to perform this service.

Most material received aboard ships comes from naval activities ashore that have already performed a quality inspection. You should inspect the item for any obvious deterioration or breakage that may have occurred since the previous quality inspection.

Technical materials or materials ordered for direct turnover are inspected by the cognizant department head or authorized representative. You, as a senior petty officer, may be assigned this duty. Except in emergencies, when the commanding officer may waive minor defects, no purchased material should be accepted unless it conforms to the specifications included in the purchase document.

After the purchased material has been turned over to you, the supply department presents a copy of the purchase document or the dealer's invoice stamped "Received, inspected, and accepted." This certification is then signed by the department head and the document returned to the supply department.

## STOWAGE AND CUSTODY

When repair parts and consumables are stowed in spaces other than supply spaces, the head of the department having actual custody is responsible for the proper stowage, inventory, and use of the material. (Figure 4-4 illustrates the functions involved and the usual flow of responsibilities.) The supply officer has technical custody and maintains stock records and requisitions replenishment stock. The supply officer also provides written instructions to the custodian, who is usually a senior petty officer. A custodian is appointed by the responsible department head and designated in writing to the supply officer.

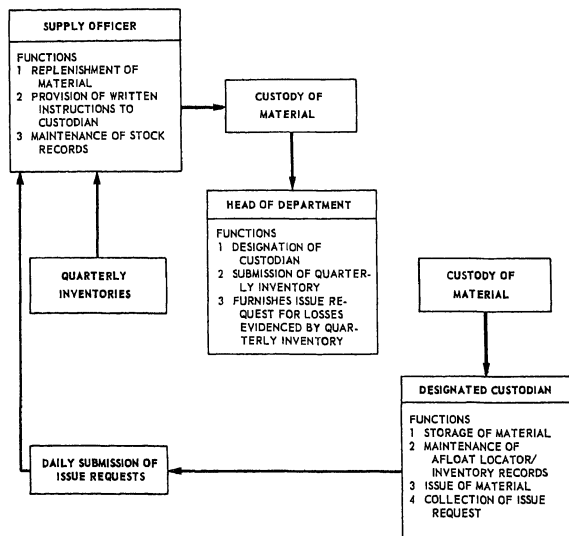


Figure 4-4.—Flow of responsibility relating to materials stored in other than supply spaces.

AFLOAT LOCATOR/INVENTORY RECORD NAVSUP FORM 1075 (REV. 2/70)	COG		STOCK NUMBER AND DESCRIPTION		U/I	ITEM LOCATIONS		
	SPECIAL MATERIAL CATEGORY		INVENTORY					
	ICHECK APPLICABLE BLOCKS:		DATE	QUANTITY	GAIN	LOSS	U/P	EXT
	<input type="checkbox"/> HVAC <input type="checkbox"/> CRITICAL <input type="checkbox"/> REPAIRABLE - EXCH REQ <input type="checkbox"/> CLASSIFIED <input type="checkbox"/> HAZARDOUS <input type="checkbox"/> PILFERABLE <input type="checkbox"/> SHELF LIFE <input type="checkbox"/> <input type="checkbox"/>							

Figure 4-5.—Afloat Locator/Inventory Record (NAVSUP Form 1075).

### Responsibilities of Custodians

The departmental custodian maintains Afloat Locator/Inventory Records (NAVSUP Forms 1075) on which receipts, expenditures, and inventories are recorded (fig. 4-5). The custodian is responsible for stowing and issuing the materials and for collecting issue documents. Issues are made using the NAVSUP Form 1250-1 or DD Form 1348, as appropriate. The departmental custodian is not required to maintain records other than the locator records; however, the custodian is responsible for promptly submitting the completed transaction documents to the supply department for the update of applicable stock records.

### Stowage Principles

Specific written instructions from the supply officer provide guidance to departmental custodians in performing their duties; however, every senior petty officer should know certain basic stowage principles that involve safety, security, orderly arrangement, and easy access. These principles are discussed in the following paragraphs.

**SAFETY.**—Basic stowage safety principles may be summarized as follows:

1. Material should never be stowed or left in passageways or where it may block damage control apparatus.

2. All materials should be properly secured to avoid equipment damage or injury to personnel.
3. Items that are subject to spontaneous combustion should be stowed in a cool, well-ventilated space, away from heat and flammable material.
4. Bulk acids (except medical) should be stowed in the acid locker in the custody of the supply department; paint should be stowed in the paint locker.

**STOWAGE PRECAUTIONS**—Humidity, sweating bulkheads, and leaky pipes can cause severe damage to material in stowage spaces. Dunnage, such as lumber, may be used under material to keep it from direct contact with the dampness of the deck. Bulkheads and pipes in stowage spaces should be inspected frequently for sweating and leaks. Moisture caused by sweating can sometimes be eliminated by adequate ventilation. The use of a drying agent, such as bags of silica gel, may be necessary to help absorb moisture in stowage spaces.

Some items stowed for long periods may require special care to preserve them. For example, tools and other items made of unprotected metal should be protected from rust. Such items may be protected by a coat of grease, petroleum jelly, or a thin-film of preservative compound. These items may require several coatings during their stowage period.

**HANDLING AND STOWAGE OF HAZARDOUS MATERIALS.**—A hazardous material is any substance or mixture of substances that could result in the injury or death of a person. These substances are divided into toxic, irritating, flammable, pressurized, or sensitizing agents. The hazardous material could also result in damage to equipment or personnel through corrosion, oxidation, pressurization, or heat-generation.

As you were climbing the advancement ladder, your major concern about safety was your own well-being. As a senior petty officer, you should be concerned not only about your own safety but also the safety of others. You should make sure all personnel observe the following general precautions when handling and stowing hazardous materials:

- Keep stowage compartments clean and dry.
- Provide adequate ventilation in the storage area.
- Provide separate storage areas for materials that would become dangerous if mixed or combined.
- Avoid stowing materials in direct sunlight if the sun rays could cause a harmful or an unstable effect to the material.
- DO NOT allow unauthorized personnel in the stowage area.
- Make sure the precautionary label remains intact after each use or when transferring the material to another container.
- Inventory the containers quarterly.
- Inspect the containers for tightness of cover seal, corrosion, leakage, improper or inadequate labeling, and shelf life expiration date.
- NEVER allow open flames in the stowage or handling area.
- Monitor the stowage area for oxygen depletion or toxic gas buildup (this check must be accomplished by a gas-free engineer).
- ALWAYS use electrical equipment that is authorized for use in an explosive atmosphere.

**SECURITY.**—Designated departmental supply custodians are responsible for safeguarding the material under their control; therefore, security is always an important consideration. Storerooms must be kept locked when not in use. The number of people having direct access to a storeroom should be kept to a minimum; otherwise, material could disappear and the custodian would have no record of its issuance. Control and responsibility should be clear-cut; that is, clear-cut decisions on the following questions should be made and enforced within the responsible department:

1. Who is primarily responsible for keeping the keys to each storeroom?
2. To whom are the keys given when the custodian goes ashore?
3. Where may personnel on watch find the keys (or duplicate keys) if a storeroom has to be entered in case of emergency?
4. Who else, if anyone, should have direct access to the storeroom?

**PHYSICAL ARRANGEMENT.**—The physical arrangement of storerooms depends on the construction of the portions of the ship in which the storerooms are located. Each stowage area presents particular problems and should be considered separately to ensure that the available stowage space is used to full capacity

Material should be segregated into arrangements best suited for purposes of issue and inventory, with special attention to placement of fast-moving items for convenience of issue. When repair parts are stowed in boxes, consideration should be given to the department's planned maintenance program. In most cases, material should not be stowed in stock number sequence, since national stock numbers assigned are not necessarily related to item characteristics. For maximum stowage life, stowage should be planned so that the oldest material is issued first.

Small ships do not usually have suitable stowage space. Material has to be stowed in small spaces that are irregular in shape and size. Orderliness may have to be sacrificed to put materials in the spaces that best fit them. For example, bulky items may have to be stowed in inconvenient, out-of-the-way spaces because the size of hatches and passageways prevents their stowage with related items. However, do not overload the bins at the expense of safety and accessibility.

The custodian should develop an effective locator system so that specific items of stock may be located without delay. Storeroom areas, units of shelving, bins, or other easily identified and defined sectors should be assigned numerical or alphabetical designators indicating the fore-and-aft and athwartship location of sectors within the storeroom. The location of each item or box of repair parts should be recorded on the applicable Afloat Locator/Inventory Record.

Material needed in a hurry (even if not needed frequently) should always be immediately accessible. In actual emergencies, accessibility of vital material has enabled a ship to regain full capability almost immediately. Common items that are frequently used should be kept near at hand. The once-a-month item, usually not needed in a hurry, should not clutter up bins near the door of a stowage space.

Sufficient passageways should be provided in stowage areas so that even the most infrequently used items can be removed with little or no shifting of other material. Stowage spaces should be kept orderly, clean, and in good condition.

You should consult the supply officer if special storage problems arise aboard your ship.

## **CONTROLLED EQUIPAGE**

Controlled equipage are specific items that require special management control because their use is essential for the protection of life; for example, lifeboats, first-aid boxes, firearms, binoculars, or items that are pilferable and easily converted to personal use.

A list of items designated as controlled equipage is contained in various supply procedural publications. Items designated as controlled equipage are carried on board in allowance quantity only. They are generally under the custodial responsibility of the department head.

When you are a work center supervisor, controlled equipage may be subcustodied by your department head to you. You will then be responsible for maintaining that piece of equipage, accounting for it, and inventorying it as necessary.

### **Designation of Items to be Managed as Controlled Equipage**

The Controlled Equipage Item List (CEIL) is an item listing that fleet commanders developed jointly for special inventory control; that is, a list of items that are essential for the protection of

life or that are relatively valuable and easily convertible to personal use.

Excluded from the CEIL are those equipage items adequately managed through other shipboard programs. The items managed as controlled equipage are categorized and listed as "signature-required items" and "non-signature-required items" in appendix 11 of NAVSUP P-485.

Signature-required items require the signature of the responsible department head in the original custody records maintained by the supply department. These items also require the signature of the actual custodian in the department head's duplicate custody records. Signature-required items annotated with the # symbol in appendix 11 of NAVSUP P-485 also require that the serial number of each unit be listed in the original and duplicate custody records.

### **Items Designated by the Commanding Officer or Type Commander**

When commanding officers or type commanders do not consider the CEIL in appendix 11 to be sufficiently inclusive, they may designate additional items as controlled equipage (either as signature-required or non-signature-required). They may also change non-signature-required items listed in appendix 11 to signature-required items when additional control is necessary.

A list of items designated and changed by a commanding officer is prepared by the supply officer and approved by the commanding officer. The original of the list is retained by the supply officer, and a copy is provided to each department head concerned. When items are designated by the type commander, the supply officer retains a copy of the type commander's directive and provides a copy to each department head concerned.

### **Department Head Records**

Your department's basic custody record for controlled equipage is the duplicate of the NAVSUP Form 306 furnished by the supply officer. Receipts, expenditures, and inventories are posted to the duplicate records as they occur. The supply officer and the custodial department head are jointly responsible for ensuring that the original and duplicate custody records are in agreement. A comparison of the original and duplicate copies is required incident to inventories; however, a comparison of the original and duplicate of an individual record should be made each time a receipt or expenditure entry is posted.

## **RECORDS OF EXPENDING AND RECOVERING ACCOUNTABLE MATERIAL**

Accounting for the expending and recovering of supply materials is an important supply function. Two areas of expenditures, issue and transfer, have already been covered in this chapter. We will now discuss the turn-in of items; the precious-metal recovery program; the missing, lost, stolen, or recovered government property program; and material survey.

### **Turn-In Items**

Material in excess of allowance or department needs should be returned promptly to the supply department. You should make every attempt to return material in a ready-for-issue condition. If the preservation has been destroyed or is marginal, re-preservation should be accomplished before turn-in. Material returned to the supply department is documented on a NAVSUP Form 1250-1 (for manual afloat activities) or a DD Form 1348-1 (for automated afloat and ashore activities).

### **Precious-Metals Recovery**

Many times in your day-to-day work, you will be working with equipment that contains precious metals. This is especially true in the Dental Technician, Hospital Corpsman, Photographer's Mate, electronic and electrical, and some engineering ratings. Precious metals and metal-bearing scraps should be separated by generic category; for example, gold, silver, and platinum. They should then be turned in to the nearest DOD property disposal facility. Further guidance on the reuse of precious metals and the recovery of precious metals can be found in *Recovery and Utilization of Precious Metals*, NAVSUPINST 4570.23.

### **Missing, Lost, Stolen, or Recovered Government Property Program**

The Department of the Navy has long recognized the importance of maintaining statistics on where, when, and how government property was lost, stolen, or found missing and how it was recovered.

To provide a medium for recording this information, the government began the Missing, Lost, Stolen or Recovered (M-L-S-R) Program in 1973. The ultimate goal of this program is to

improve the Navy's physical security program and to provide a method for entering serialized material into a computer. The M-L-S-R program also establishes an official interface with the FBI's National Crime Information Center (NCIC). Further guidance, including a detailed list of items to be reported and how to report these items, is contained in *Reporting of Missing, Lost, Stolen, or Recovered (M-L-S-R) Government Property*, SECNAVINST 5500.4E.

## **SURVEY PROCEDURES**

When circumstances warrant, such as when criminal action or gross negligence is indicated, the commanding officer's designated representative may appoint a surveying officer or a survey board. Persons who are accountable or responsible for the material being surveyed should not be appointed as surveying officers.

Research action is not required when, in the opinion of the commanding officer or designated representative, negligence is not indicated in the loss, damage, or destruction of government property. It is not required if, for reasons known to the commanding officer, negligence or responsibility cannot be determined. It is also not required if research under those conditions would be an unnecessary administrative burden. Research action is not usually required when a person accepts responsibility for the loss, damage, or destruction of government property and volunteers to reimburse the government. At the discretion of the commanding officer or the designated representative, investigative reports required by other appropriate DOD component regulations may be used in lieu of the research under the following circumstances:

- No death or injury is involved.
- No possible claim against the government exists. Items are determined to be scrap by an inventory manager.
- Material is cannibalized or otherwise unaccounted for in the repair department.
- Residue of material cannibalized in the repair department is considered to have scrap value only.
- Samples of petroleum products are sent to a laboratory for examination and testing. These samples are not normally returned.

- Medical material has been determined to be defective by the Bureau of Medicine and Surgery.
- Material quantity discrepancies (provided that the value of the loss or shortage is less than \$50 per line item and it does not involve sensitive items) transferred to disposal are discovered.
- Material is lost in transit because of enemy action.

The criteria for performing further research on unresolved discrepancies are as follows:

- Further research is required on drugs or precious metals when any discrepancy occurs, regardless of dollar value.
- All items are classified, regardless of dollar value.
- Discrepancy of \$500 or more concerning pilferable items is reported.
- An indication or suspicion of fraud, theft, or negligence exists about any discrepancy.
- A discrepancy concerns arms and ammunition, including all personal arms, whether or not pecuniary liability is admitted
- Repetitive losses and the dollar value of the adjustment equals or exceeds projected costs of the report of investigation.
- Bulk petroleum losses exceed the stated allowance
- Items are mandatory turn-in repairables, including items that have been invoiced and shipped but not received.
- Discrepancies are over \$50,000 (all items).
- Further research is requested by the accountable officer.

### **Responsibility for Survey**

The commanding officer of a ship or unit has command responsibility for the security of all U.S. government property within the command,

whether in use or in storage. Such command responsibility requires a thorough observation of the activities of subordinate units. It also requires the enforcement of security, safety, and accounting requirements by appropriate administrative or disciplinary measures.

As the supervisor, you are responsible for the loss, damage, or destruction of material by subordinates under your supervision when the action or lack of action can be directly connected to the loss, damage, or destruction of government property.

You are also responsible for supply stocks that are stored and used within your division spaces. Government property may not be converted to personal use without specific permission or proper authority.

### **Report of Survey**

As a CPO, you may encounter a time when you will need to expend accountable material from your records because of loss, destruction, or absorption. In most cases you will be required to initiate a Report of Survey (DD Form 200) to document the expenditure. The Report of Survey is an official report explaining the situation. Depending upon the circumstances, it may also provide the results of an investigation into the matter (figs 4-6A and 4-6B).

NAVSUP P-485 (paragraphs 5125-5128) provides specific guidance concerning the preparation and responsibility for the submission of the Report of Survey. Your responsibility as a CPO is to document losses or destruction in your work center as follows.

1. Inform your chain of command immediately.
2. Begin researching the cause and circumstances leading to the situation
3. Try to reconstruct the situation to determine whether further investigation is necessary.
4. Initiate a Report of Survey (DD Form 200) to document loss or destruction of government property.

Remember, if you are the custodian of loss or destroyed material, you are responsible and accountable. Make sure all your research is thorough.



<b>14. FINDINGS AND RECOMMENDATION OF SURVEY OFFICER</b>			
<b>a FINDINGS AND RECOMMENDATIONS (Attach additional pages as necessary)</b>			
<b>b DOLLAR AMOUNT OF LOSS / GAIN</b>		<b>c RECOMMENDED PECUNIARY CHARGE</b>	<b>d LOSS / GAIN TO GOVERNMENT</b>
<b>15. SURVEY OFFICER</b>			
<b>a ORGANIZATIONAL ADDRESS (Unit Designation Office Symbol Base State Zip Code)</b>		<b>b TYPED NAME (Last First Middle Initial)</b>	<b>c AUTOVON NUMBER</b>
		<b>d DATE REPORT SUBMITTED TO APPOINTING OFFICIAL</b>	<b>e DATE APPOINTED</b>
		<b>f SIGNATURE</b>	<b>g DATE SIGNED</b>
<b>16. INDIVIDUAL CHARGED</b>			
<b>a I HAVE EXAMINED THE FINDINGS AND RECOMMENDATIONS OF THE SURVEY OFFICER AND (X one)</b>		<b>b I AM AWARE OF MY RIGHT TO (1) LEGAL ADVICE AND (2) APPEAL IF PECUNIARY CHARGES ARE ASSESSED. ENLISTED PERSONNEL HAVE THE RIGHT TO REQUEST REMISSION OF INDEBTEDNESS.</b>	
<b>(1) SUBMIT THE ATTACHED STATEMENT OF OBJECTION</b>			
<b>(2) DO NOT INTEND TO MAKE SUCH A STATEMENT</b>			
<b>c TYPED NAME (Last, First Middle Initial)</b>		<b>d SIGNATURE</b>	<b>e DATE SIGNED</b>
			<b>f AUTOVON NUMBER</b>
<b>17. APPOINTING OFFICIAL</b>			
<b>a RECOMMENDATION (X one)</b>		<b>b COMMENTS</b>	
<b>(1) APPROVE</b>			
<b>(2) DISAPPROVE</b>			
<b>c ORGANIZATIONAL ADDRESS (Unit Designation Office Symbol Base State Zip Code)</b>		<b>d TYPED NAME (Last First Middle Initial)</b>	<b>e AUTOVON NUMBER</b>
		<b>f SIGNATURE</b>	<b>g DATE SIGNED</b>
<b>18. APPROVING OFFICIAL</b>			
<b>a ACTION (X one)</b>		<b>b COMMENTS</b>	
<b>(1) APPROVED</b>			
<b>(2) DISAPPROVED</b>			
<b>c ORGANIZATIONAL ADDRESS (Unit Designation Office Symbol, Base State, Zip Code)</b>		<b>d TYPED NAME (Last First, Middle Initial)</b>	<b>e AUTOVON NUMBER</b>
		<b>f SIGNATURE</b>	<b>g DATE SIGNED</b>

DD Form 200 Reverse, OCT 84

Figure 4-6B.—Report of Survey, DD Form 200 (Reverse).

## **Distribution of the Report of Survey Form After Final Action**

The original report with all attachments is retained at the activity if copies are not required by higher authority.

A duplicate is returned to the appropriate property officer to replace the quadruplicate copy, which may then be destroyed if not required by higher authority.

The triplicate copy is destroyed if pecuniary liability is not assessed. If pecuniary liability is assessed, send a copy to the disbursing officer.

## **INVENTORIES**

Inventories should be conducted at regular intervals, following prescribed procedures.

### **Controlled Equipment Inventory**

All items of controlled equipment are inventoried on an annual basis during the period 15 February to 15 March.

At least 1 month before 15 February, the supply officer prepares an official notice advising all department heads of procedural details to be followed when conducting their annual inventories of controlled equipment. The notice is signed by the commanding officer or by an officer with delegated authority.

Heads of departments are responsible for conducting the inventory of items for which they have custody. The file of duplicate NAVSUP Forms 306, as well as subcustody records, can be used as a basis for conducting and recording physical inventories of controlled equipment.

All items are sighted and inspected for serviceability by the officer conducting the inventory. Binoculars, small arms, and other equipment identified by serial numbers are checked by those numbers during the inventory. As each item is inventoried, the inventorying officer enters the date and quantity and signs the reverse side of the department copy of the custody card.

As the inventory progresses or immediately after completion, the inventory record is transcribed to the original card held by the supply officer. When the inventoried quantity of an item differs from the verified custody record balance, a recount or an investigative research or both is required.

After the above procedures have been accomplished, the following additional actions are required:

1. Shortages and unserviceable items discovered incident to inventory are promptly surveyed.
2. Inventory adjustments are posted to the custody card.
3. Issue requests are prepared and submitted to the supply officer for procurement of any replacement items required.
4. A report of inventory completion is submitted to the commanding officer.

Upon completion of a controlled equipment inventory, each department head submits a letter report to the commanding officer, with a copy to the supply officer. When controlled equipment is inventoried incident to a change of department head, the letter report is signed by both the relieved and relieving department heads. Letter reports should include a list of excess controlled equipment items. This list should include justification or authority for any excess items you want to retain. Letter reports should include

1. completion of the controlled equipment inventory,
2. submission of shortages and unserviceable items,
3. replenishment of shortages and unserviceable items, and
4. justification or authority for any excess items to be retained.

### **Other Inventories**

Physical inventories of stores in the technical custody of the supply department but in the physical custody of other departments are taken at the end of each quarter or when prescribed by the supply officer. The inventory is checked against the stock record cards, signed by the custodian department head, and submitted to the supply officer. The following are examples of how you should prepare the space for inventory:

1. Ensure the stowage is orderly and follows a prearranged stowage plan.
2. Ensure unopened boxes and other containers are stowed with labels and other identifying information facing outward.
3. Ensure loose items are repackaged in standard bulk lots when practical.

4. Ensure all stock is labeled or otherwise clearly identified.

Shortages identified by the inventory are covered by receipted issue documents. The supply officer charges shortages against the budget of the department concerned.

#### **Selected Item Management (SIM)/Non-SIM Procedures**

Analysis of shipboard usage data has shown that a small percentage of the total number of repair parts is in frequent demand. However, all items require the same degree of management attention: annual inventory, stock record review, and updating. Under the SIM concept, only those items designated SIM receive this attention on a regular basis; non-SIM items are inventoried, reviewed, and updated only when transactions occur. A stock item is designated SIM after it has had two demands (regardless of quantity issued) within a 6-month period; it loses that designation when no demands have been recorded for 6 months consecutively.

You should remember that the designation of a stock item as either SIM or non-SIM is not permanent. When a non-SIM item experiences its second demand within 6 months, it should be redesignated as SIM. An item may be designated as SIM if it has a predictable demand of two or more based on expected seasonal or deployed usage.

SIM items are inventoried at 6-month intervals. The inventory should be completed and posted within 2 weeks after it is started. The inventory should be conducted before deployment.

#### **INTEGRATED LOGISTICS OVERHAUL (ILO)**

The ILO improves readiness by providing a ship with logistics support that accurately reflects the ship's true equipment and operating needs. The term *logistics support* refers to the repair parts, Planned Maintenance System (PMS), technical manuals, and personnel training necessary to operate and sustain the ship. As you can see, an ILO includes much more than just repair parts and involves more than just supply functions. An ILO is a shipboard evolution that involves every department and is important for a ship's overhaul. A properly executed ILO can greatly benefit the future operations of the ship, but a poorly executed ILO can be disastrous. The

ILO process begins months before the shipyard period and continues at a reduced level until the next ILO.

The Ship Equipment Configuration Accounting System (SECAS) validation is one of the first steps in an ILO. This validation is performed by TYCOM personnel. The TYCOM personnel board your ship and site-validate all electronic and ordnance material and certain hull, mechanical, and electrical equipment (HM&E).

Personnel assignments to the ILO generally include people from several different technical ratings, as well as Storekeepers. Each person has a specific assignment related to the configuration analysis within his or her area of specialty. The team should work together to ensure that the "integrated" portion of ILO brings all parts together as a whole. The assignment of people to the ILO team is a critical factor in the final outcome. You should assign the most conscientious people from the work center to the ILO team.

Several of the major evolutions involved in an ILO are outlined below:

- Develop a plan of action and milestones (POA&M).
- Train all personnel involved in the ILO process.
- Off-load all repair parts, technical manuals, and PMS documentation at the ILO site.
- Compare the SECAS validation to the current COSAL and inventory and catalog repair parts at the same time.
- Analyze the applicability of repair parts, technical manuals, and PMS to update the configuration.
- Coordinate the reorder of repair parts, technical manuals, and PMS programs.
- On-load updated products.
- Follow-up, adjust, and validate the entire ILO process. This step continues during the entire operating cycle.

The result of an ILO will never be perfect, but this process does eliminate most of the support problems encountered during the previous operating cycle. Because an ILO is a self-help

project, the product will only be as good as the input from you and your personnel. You, as a CPO, will have a great deal of influence over this procedure.

### THE 3-M SYSTEMS

The average work center aboard ship is involved in the 3-M Systems through the Planned Maintenance System (PMS) and the Maintenance Data System (MDS). Your position in the work center or division will require you to have a good working knowledge of the 3-M Systems. Basic 3-M responsibilities of the chief include the following:

- Training the division officer and subordinates
- Supervising preventive maintenance administrative procedures
- Supervising corrective maintenance administrative procedures
- Submitting equipment configuration changes to update the weapons system file
- Managing the division or work center maintenance through use of the current ship's maintenance project (CSMP)

An in-depth explanation of the 3-M Systems is beyond the scope of this chapter. Exact procedures for administering the 3-M Systems vary depending upon TYCOM instructions, type of command, or special programs such as nuclear weapons or nuclear power.

This section will cover the general responsibilities of the positions you should be familiar with as a chief. These positions are the departmental 3-M Systems assistant, division officer, group supervisor, and work center supervisor.

A more detailed description of the 3-M Systems can be found in the *Ships' Maintenance and Material Management (3-M) Systems Manual*, OPNAVINST 4790.4B, and your TYCOM 3-M Systems instruction.

### DEPARTMENTAL 3-M SYSTEMS ASSISTANT

The department head will assign an officer or a petty officer as a 3-M Systems assistant. The

assistant must be trained in and knowledgeable of the 3-M Systems. The assistant will provide assistance and supervision in all administrative facets of the department's 3-M Systems program.

### DIVISION OFFICER

The division officer is responsible to the department head and must be trained in the 3-M Systems. The division officer assists in managing the maintenance required for the equipment within the division. The division officer's responsibilities include the following:

- Ensuring division MDS documents are complete, accurate, and promptly prepared and submitted
- Ensuring qualified senior personnel review PMS maintenance requirement documents such as maintenance index pages (MIPs) or maintenance requirement cards (MRCs) for completeness, applicability, and accuracy
- Supervising preparation, reviewing, and signing of the divisions's weekly PMS schedules
- Conducting weekly spot-checks to make sure maintenance requirements are performed as indicated on the maintenance requirement card (MRC)
- Ensuring the department quarterly schedule is properly updated each week
- Including 3-M Systems training in divisional training plan
- Working in association with the ship's 3-M coordinator
- Meeting the work center supervisors each week and then informing the department head of 3-M Systems status within the division
- Ensuring division 3-M Systems files, publications, MRC decks, tag guide list (TGL), and equipment guide list (EGL) are complete and current

### GROUP SUPERVISOR

Sometimes the leading chief is responsible for the proper operation of two or more work centers.

When this occurs the leading chief is referred to as the group supervisor. The group supervisor is responsible for the proper performance of the 3-M Systems in the work centers under their control.

## **WORK CENTER SUPERVISOR**

The senior chief petty officer (or senior petty officer if no chief is assigned) within the work center is the work center supervisor. The work center supervisor is responsible for the effective operation of the 3-M Systems in his or her work center. The responsibility can not be delegated to subordinate maintenance personnel. The work center supervisor will receive 3-M Systems training and is responsible for the following:

- Scheduling and supervising accomplishment of weekly work center maintenance tasks.
- Ensuring preventive maintenance status is shown correctly on work center PMS schedules.
- Informing the division officer or group supervisor of MDS or PMS actions within the work center.
- Maintaining an adequate supply of 3-M Systems materials for the work center.
- Ensuring prompt documentation of all noted material deficiencies in the work center work list/job sequence number (JSN) log and on OPNAV 4790/CK Form if required
- Documenting completed maintenance actions promptly using OPNAV 4790/2K or OPNAV 4790/CK forms when required.
- Reviewing all 3-M documentation leaving the work center to make sure it is correct, legible, and prepared and submitted promptly. Persons discovering deficiencies are responsible for completing required documentation.
- Ensuring maximum use of PMS as a maintenance training aid for work center personnel.
- Maintaining control and accountability of work center job sequence numbers (JSNs).
- Verifying that the work center CSMP is current and complete.
- Reviewing maintenance requirement cards and submitting a PMS feedback report when maintenance requirements are not fully understood; errors are believed to exist; maintenance requirements are believed to be inadequate or excessive or when performance would cause a hazardous condition to exist; or replacement documents are required.
- Maintaining an accurate and current list of effective pages (LOEP) by comparing PMS documentation to actual work center equipment configuration.
- Ensuring periodic maintenance requirements (PMR) scheduled for the work center are completed and reported as stated on the PMS, MRC, or PMR.
- Ensuring proper tests and inspections prior to acceptance of work done by outside activities.
- Ensuring delivery of test, measurement, or other portable equipments to testing and calibration work centers as indicated on scheduling reports.

## **SHIPBOARD NONTACTICAL AUTOMATED DATA PROCESSING (ADP) PROGRAM: SYSTEMS (SNAP I AND SNAP II)**

The Shipboard Nontactical ADP Program (SNAP) concept takes the power of computers with their ability to process information and puts that power in the hands of the work center personnel. The SNAP computer systems are highly useful systems. The Navy uses two different SNAP computer systems to accomplish the same basic functions. SNAP I systems are installed at Shore Intermediate Maintenance Activities (SIMAs) and on board larger vessels such as aircraft carriers, tenders, amphibious command ships, and amphibious assault ships. SNAP II systems are installed only on smaller vessels such as frigates, destroyers, and cruisers.

The main objectives of SNAP I and SNAP II systems are to accomplish the following:

- Reduce the current shipboard administrative workload associated with equipment maintenance, supply and financial management, and personnel administration

project, the product will only be as good as the input from you and your personnel. You, as a CPO, will have a great deal of influence over this procedure.

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- Verifying that the work center CSMP is current and complete.
- Reviewing maintenance requirement cards and submitting a PMS feedback report when maintenance requirements are not fully understood; errors are believed to exist; maintenance requirements are believed to be inadequate or excessive or when performance would cause a hazardous condition to exist; or replacement documents are required.
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- Ensuring periodic maintenance requirements (PMR) scheduled for the work center are completed and reported as stated on the PMS, MRC, or PMR.
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The main objectives of SNAP I and SNAP II systems are to accomplish the following:

- Reduce the current shipboard administrative workload associated with equipment maintenance, supply and financial management, and personnel administration

- Provide supervisors with a responsive and flexible on-line management tool for maintenance, supply, and manpower functions
- Improve the accuracy and timeliness of existing off-ship data reports without increasing user workload

## **COUNSELING PERSONNEL**

One of the most important aspects of the chief petty officer's job is providing advice and counseling to subordinates. CPOs who make themselves accessible to subordinates will find they are in great demand to provide information and to help in finding solutions to problems.

The purpose of this section of the chapter is to present an overview of the basic principles and techniques of counseling. This section is not intended to be a course in problem solving, nor is it intended to provide a catalog of answers to all questions. This section will, however, give you an overview of general counseling procedures, some guidelines to use in the counseling process, and a listing of resources available as references.

A point to remember is that counseling should not be meddlesome, and the extreme, of playing psychiatrist, should be avoided. But neither should counseling be reserved only for a subordinate that is having problems; you should also counsel subordinates for their achievements and outstanding performance. Counseling of a subordinate who is doing a good job reinforces this type of job performance and ensures continued good work. Counseling of this type also provides an opening for you to point out ways that a subordinate might improve an already good job performance.

Counseling the subordinate who is doing a good job is relatively easy, but a different type of counseling is required for a subordinate whose performance does not meet set standards. This section teaches you how to counsel the subordinate whose performance does not meet established job standards.

In general, this section can be used as a guide to counseling personnel on professional, personal, and performance matters. Also, the basics presented here apply to counseling subordinates on their enlisted evaluations.

## **PRINCIPLES OF COUNSELING**

Counselors should set aside their own value system in order to empathize with the person

during counseling. The things the counselor may view as unimportant may be of paramount importance to the counselee. We tend to view the world through our own values, and this can present problems when we are confronted with values that are at odds with our own. If persons in your unit think something is causing them a problem, then it is a problem to them, regardless of how insignificant you might believe the problem to be.

The objective of counseling is to give your personnel support in dealing with problems so that they will regain the ability to work effectively in the organization. Counseling effectiveness is achieved through performance of one or more of the following counseling objectives: advice, reassurance, release of emotional tension, clarified thinking, and reorientation.

### **Advice**

Many persons think of counseling as primarily an advice-giving activity, but in reality it is but one of several functions that counselors perform. The giving of advice requires that a counselor make judgments about a counselee's problems and lay out a course of action. Herein lies the difficulty, because understanding another person's complicated emotions is almost impossible.

Advice-giving may breed a relationship in which the counselee feels inferior and emotionally dependent on the counselor. In spite of its ills, advice-giving occurs in routine counseling sessions because members expect it and counselors tend to provide it.

### **Reassurance**

Counseling can provide members with reassurance, which is a way of giving them courage to face a problem or confidence that they are pursuing a suitable course of action. Reassurance can be a valuable, though sometimes temporary, cure for a member's emotional upsets. Sometimes just the act of talking with someone about a problem can bring about a sense of relief that will allow the member to function normally again.

### **Release of Emotional Tension**

People tend to get emotional release from their frustrations and other problems whenever they have an opportunity to tell someone about them. Counseling history consistently shows that as persons begin to explain their problems to a

sympathetic listener, their tensions begin to subside. They become more relaxed and tend to become more coherent and rational. The release of tensions does not necessarily mean that the solution to the problem has been found, but it does help remove mental blocks in the way of a solution.

### **Clarified Thinking**

Clarified thinking tends to be a normal result of emotional release. The fact is that not all clarified thinking takes place while the counselor and counselee are talking. All or part of it may take place later as a result of developments during the counseling relationship. The net result of clarified thinking is that a person is encouraged to accept responsibility for problems and to be more realistic in solving them.

### **Reorientation**

Reorientation is more than mere emotional release or clear thinking about a problem. It involves a change in the member's emotional self through a change in basic goals and aspirations. Very often it requires a revision of the member's level of aspiration to bring it more in line with actual attainment. It causes people to recognize and accept their own limitations. The counselor's job is to recognize those in need of reorientation before their need becomes severe, so that they can be referred to professional help. Reorientation is the kind of function needed to help alcoholics return to normalcy or to treat those with mental disorders.

## **TYPES OF COUNSELING**

Counseling should be looked upon in terms of the amount of direction that the counselor gives the counselee. This direction ranges from full direction (directive counseling) to no direction (nondirective counseling).

### **Directive Counseling**

Directive counseling is the process of listening to a member's problem, deciding with the member what should be done, and then encouraging and motivating the person to do it. This type of counseling accomplishes the function of advice; but it may also reassure; give emotional release; and, to a minor extent, clarify thinking. Most everyone likes to give advice, counselors included,

and it is easy to do. But is it effective? Does the counselor really understand the member's problem? Does the counselor have the technical knowledge of human behavior and the judgment to make the "right" decision? If the decision is right, will the member follow it? The answer to these questions is often no, and that is why advice-giving is sometimes an unwise act in counseling. Although advice-giving is of questionable value, some of the other functions achieved by directive counseling are worthwhile. If the counselor is a good listener, then the member should experience some emotional release. As the result of the emotional release, plus ideas that the counselor imparts, the member may also clarify thinking. Both advice and reassurance may be worthwhile if they give the member more courage to take a workable course of action that the member supports.

### **Nondirective Counseling**

Nondirective, or client-centered, counseling is the process of skillfully listening to a counselee, encouraging the person to explain bothersome problems, and helping him or her to understand those problems and determine courses of action. This type of counseling focuses on the member, rather than on the counselor as a judge and advisor; hence, it is "client-centered." This type of counseling is used by professional counselors, but nonprofessionals may use its techniques to work more effectively with service members. The unique advantage of nondirective counseling is its ability to cause the member's reorientation. It stresses changing the *person*, instead of dealing only with the immediate *problem* in the usual manner of directive counseling. The counselor attempts to ask discerning questions, restate ideas, clarify feelings, and attempts to understand why these feelings exist. Professional counselors treat each counselee as a social and organizational equal. They primarily listen and try to help their client discover and follow improved courses of action. They especially "listen between the lines" to learn the full meaning of their client's feelings. They look for assumptions underlying the counselee's statements and for the events the counselee may, at first, have avoided talking about. A person's feelings can be likened to an iceberg. The counselor will usually only see the revealed feelings and emotions. Underlying these surface indications is the true problem that the member is almost always initially reluctant to reveal.

## PERSONAL COUNSELING

All personal problems should not be referred to a specialist. Your first duty as a chief is to recognize whether the problem is beyond your ability to help or not. Many times you can solve personal problems with a telephone call. If the problem is beyond your ability to solve, then give the division officer a chance to solve the problem. Stay informed of the progress made toward solving the problem. If the problem requires assistance from outside the command, you can smooth the process by making appointments and ensuring the counselee gets help. Keep informed of progress and follow-up!

As a CPO, you may encounter situations in which persons being counseled must be referred to other sources for assistance. There will be times when a person will have special problems that will require special help. These problems should be handled by such specialists as the chaplain, legal

officer, and medical officer. The effective CPO should be able to recognize situations in which referral is necessary and to assist the counselee in obtaining maximum benefit from these referrals. Examples of situations in which referral would be appropriate include drug and alcohol abuse, psychological problems or behavioral disorders, medical problems, personal limitations, such as a personality conflict with the counselor and the inability of the counselor to relate to or comprehend a counselee's problem.

In each instance, the key to successful referral lies not in the ability to diagnose a problem but rather in the ability to recognize those signs or symptoms that indicate referral to appropriate sources.

To assist CPOs in fulfilling their advising and counseling responsibilities with regard to referral, the Navy has developed an impressive array of helping resources. A listing of these helping resources is provided for reference.

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<u>Helping Resource</u>	<u>Capability</u>
Alcohol Rehabilitation Centers/Alcohol Rehabilitation Departments (ARCs and ARDs)	Alcohol abuse and related physical disorders
Counseling and Assistance Centers (CAACs)	Drug abuse, alcohol abuse, and psychological disorders
Drug and Alcohol Program Advisor (DAPA)	Primary command point of contact for drug and alcohol abuse problems
Navy Alcohol and Drug Safety Action Program (NADSAP)	Education program for those with drug/alcohol abuse problems
Navy Relief	Financial counseling
Chaplain Corps	Personal problem and religious counseling
Command Ombudsman	Community orientation and family orientation to the command and Navy life
Family Service Centers (FSC)	Comprehensive family-related information, programs, and services for Navy families and single service members
Federal Credit Unions	Financial assistance, to include savings and loan advice as well as family financial planning
Educational Services	Educational assistance, to include degree-granting programs, correspondence courses, and in-service educational benefits

## Helping Resource

Navy Relief Society

Naval Legal Service Offices

American Red Cross

Naval Hospitals

Veterans Administration (VA)

Civilian Health and Medical Program of the  
Uniformed Services (CHAMPUS)

Command Career Counselor

## Capability

Loans and outright grants to alleviate financial emergencies; also family budget counseling

Legal advice, to include wills, powers of attorney, and notarizing services

Emergency assistance of all types, to include emergency leave verification and travel assistance

Physical and psychological problems and disorders diagnosed and treated

Veterans benefits and survivors benefits advice

Health care benefits and eligibility advice

Career information, to include Navy rights and benefits

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## **PROFESSIONAL, PERFORMANCE, AND ENLISTED EVALUATION COUNSELING**

Professional, performance, and enlisted evaluation counseling all have several things in common. Standards should be set; standards should be clear and understood by the counselee; targets should be set for each individual; and both good and poor performance of subordinates should be documented and the subordinates counseled. Professional and performance counseling takes place throughout the year. Enlisted evaluation counseling should take place once a quarter to allow personnel a chance to improve before receiving the formal evaluation.

A good place to start is at the end of the formal evaluation period. You can outline the minimum required performance you expect from each paygrade and rating within the work center or division. This is setting a clear standard of performance. Professional and performance counseling will be based on these standards. Ensure each subordinate understands the required level of performance you expect from him or her.

Set performance targets for each individual. People are different and have different capabilities. By setting performance targets above the required minimum, you will be able to maximize subordinate output. Setting a standard target of performance could discourage less capable

performers or cause more capable performers to become bored. Remember to individualize the target performance. An example would be giving your star performer 1 week to complete a specific personnel qualification standard (PQS). The 1-week target may be too difficult for your least capable performer, so you might allow him or her 1 month to complete the PQS. All other personnel would fall somewhere within this range, depending upon their capabilities.

As your personnel progress, you will need to adjust the targets to keep them challenging but realistic. Counsel your personnel on their good and poor performance. Document the counseling sessions for at least 3 months.

You have been documenting the professional and performance counseling for the last 3 months. Now it is time to conduct an enlisted evaluation counseling session. Write a rough evaluation on each subordinate, using their counseling sheets and other documentation taken from personal observation over the last 3 months. Do not refer to the last formal evaluation (or rough evaluation for latter sessions).

These quarterly counseling sessions will allow you to provide positive reinforcement for correct behavior and corrective action for substandard behavior. You will also be able to document items that are sometimes forgotten at the yearly evaluation. Schools attended, courses completed, and assistance provided are sometimes overlooked

or forgotten if the supervisor or subordinate fails to document them.

At the end of the formal evaluation period, you should have enough documentation to write an objective evaluation on each subordinate.

### **INTERVIEWING, ASSIGNING, AND EVALUATING PERSONNEL**

As a chief petty officer, your administrative duties will include interviewing personnel, assigning them to jobs, and evaluating their performance. The purpose of interviewing is to obtain information that will help you make the most effective use of the skills and abilities of naval personnel. The best way you can do this is to assign people to work they do well and enjoy; people who enjoy their work usually put forth their best efforts in doing the job. The end result of proper interviewing and assignment is a positive evaluation for the subordinate.

#### **INTERVIEWING**

The interview has three major objectives: to establish your position of leadership and responsibility in the sailor's mind, to discover special characteristics or aptitudes about the member that may not be included in the records, and to show that you have a personal interest in the person. The interview should be friendly, not too formal, but thorough.

#### **Beginning the Interview**

To obtain all the necessary information from a member during an interview, you must put the member at ease and in the mood to talk. This is accomplished by using a pleasant, easy manner and by making it clear that you are interested in, and responsible for, finding the member a suitable job assignment.

Before beginning, you should have had a chance to read whatever information is available on the member. From this, facts can be found to open the interview, such as the location of the member's home.

The interview is not only for the purpose of giving you information, but also to help members understand themselves. You and the member should work as a team to find the most satisfactory assignment possible within the Navy's needs.

#### **Information to be Obtained**

During the interview, the interviewer obtains all the information possible about the member's education, personal interests, and occupational experience.

**EDUCATIONAL INFORMATION.**—Educational information includes the kind and extent of formal education; where and when it was acquired; subjects liked and disliked and why, and the amount of time spent studying each; any occupation followed during the period of education; and an explanation of unusual features of education.

Educational attainment indicates to a certain degree the member's ability to absorb training. Success in technical or special subjects in high school usually indicates aptitude for continued training in related subjects in Navy schools. Trade schools, business schools, and correspondence courses are important, especially if they are related to a Navy rating.

Do not assume, however, because a person has been trained in a certain field, that the occupation is necessarily suitable or desirable for that person. The person may have been urged to enter a field by parents or teachers without particularly desiring it. Or the person may have chosen a field without sufficient knowledge of the work involved. It is also possible that after actually working in a job, the person did not like it or was not suited for it.

Here are some questions to help you obtain a more accurate picture of a member's educational and training background

- Why did the person choose this particular field of study?
- What progress was made? What grades were received?
- Would the member choose this field today?
- Did the person obtain, or attempt to obtain, employment related to this particular study field?
- If given the opportunity, would the person choose a vocation that would make use of this study field?

**PERSONAL INTERESTS.**—You should ask questions to find out the personal interests of the member. This could include questions about leisure time activities, sports in which the member has participated, the level of achievement in each sport, any talents for public entertainment, and positions of leadership held. The latter usually refers to office or committee jobs in organizations to which the person has belonged. These activities, being largely voluntary, sometimes present a truer picture of the person's interests than the education or work experience. In any case, they add to a complete picture of the person.

**OCCUPATIONAL INFORMATION.**—You should obtain a brief record of the person's experience on jobs held since entering the Navy and before entering the Navy, length of time held, interests in each job, and success in each job. Care must be exercised both in recording work experience and interpreting it. With experience, as with education, you should not assume that an occupation is suitable for a member merely because some background in it has been shown. The member's interest and success in an occupation must be considered before you decide whether to assign similar work to the person.

**GIVE THE PERSON HONEST ANSWERS.**—Remember that it is your responsibility to guide and assist the person as much as possible. At times you may be tempted to evade or give indefinite answers because you expect the person to react unfavorably to what you have to say. Keep in mind, however, that even though working out a solution to a member's problems means a lot of hard work, it is your job.

Look at the situation from the member's point of view. Few situations are more discouraging than attempting to get information and receiving evasive answers or no help from the person who should be helping you. In other words, if you are supposed to be a counselor, tackle the problem and try to do something to help. Tell the person when you do not know the answers, but try to help find them.

**EMPHASIZE THE PERSON'S ABILITY.**—You will be most effective as a counselor and an interviewer if you take a positive approach, putting emphasis on the abilities of personnel and the kinds of jobs in which they can best be put to use. The more you learn about the various types of Navy duty, the greater respect you are likely to acquire for all the various jobs. They differ

as to kinds of ability, but they all require a considerable amount of ability.

Do not close the door to training on the member because the cutting scores required for a school have not been achieved. If a member is genuinely interested in a type of work, the member will probably be able to get on-the-job training. This process, which is quite likely to be available to a member as a striker aboard ship, may be within the member's capabilities even though the member could not keep up the speed required in a school.

**CLOSING THE INTERVIEW.**—Before closing the interview, you should summarize the member's qualifications and inform the member of his or her assignment. Show the member all the advantages that can be gained from the assignment. It is part of your duty to help the member see all the ways in which the assignment can be used in furthering long-range ambitions. You should make certain that the member understands all the duties and responsibilities of the assignment and that the person has been given helpful information. You should help the member develop a positive attitude toward the new assignment; this will promote the person's effectiveness in the immediate job and his or her own best interest in the future.

### Some Final Thoughts for the Interviewer

As a brief review, here are some recommendations to keep in mind for successful interviewing:

- Get a mental picture of the **WHOLE** person, not just one side.

- Be alert for the possibility that the person may be suffering from some physical or mental illness. Navy people are generally fine physical specimens and well adjusted mentally, but your job may put you in contact with exceptional cases. These belong to the professional specialist—the medical officer.

- Be more concerned with the causes than with surface symptoms. Do not assume that all members **OUGHT TO BEHAVE** in a certain way, and do not condemn the nonconformists. Try to find out what makes a member behave in a certain way.

— Keep the emphasis on the positive aspects of the person's abilities and character. Show that you appreciate the member's good qualities and show the person how to take advantage of these qualities.

— In your efforts to be friendly and understanding, do not give the impression that you are an easy mark or that friendly talk is all you have to offer. Do what you can, definitely and positively. Expect members to do their part.

— Remember that it is your duty to help the Navy make the best use of its personnel.

— Above all, remember that you are dealing with HUMAN BEINGS. An interview that is just one event in a day's work to you may be the turning point of a member's life.

## ASSIGNING

Assigning personnel is a staffing function as discussed in chapter 3. Your primary objective is to match the correct person to the job to receive maximum efficiency and effectiveness. However, you will also need to account for using on-the-job training (OJT) to cross-train personnel. You will lose some efficiency in the short term through use of OJT, but the long term result is higher divisional or work center efficiency and effectiveness.

There are no firm rules for assigning personnel. Best results occur when personnel are happy in their job. Try to match the personal interest of the subordinate to the job requirements when possible. At other times you will need to employ a skillful use of influence to achieve the desired outcome.

## EVALUATING

Evaluating personnel was discussed in the topic on performance counseling. You should be counseling your personnel on a regular basis to let them know how they are doing and where they need to improve. This section focuses on your responsibilities in preparing enlisted performance evaluations.

### Preparing Enlisted Performance Evaluations

Enlisted performance evaluations will have a long-term impact on the career of the person you

are evaluating. You should pay careful attention to detail and treat each evaluation as if it were going in *your* service record.

Military standards indicate that the evaluation writing process should begin at the petty officer second class level. Delegate the initial preparation of evaluations to the petty officer second class or one level above the person being evaluated. Have the next level in the chain of command review the evaluation.

You should use your counseling file to double check the evaluation. Make sure the marks given are realistic. Some discrete checking in your command will reveal the appropriate marking range for personnel. Do not be afraid to give 4.0 marks if they are called for and can be justified. Your job is to give an objective evaluation based on facts. Bullets for blocks 54, 55, and 56 of the evaluation should come from your counseling file, the subordinate's service record, and the division officer's record.

Providing evaluation comments for block 56 is a problem for most people. Give a brief description of the person and his or her job. The purpose of block 56 is to amplify information in blocks 27 through 43, 54, and 55. Use **bold**, underline, and **CAPITALIZATION** to make key words and phrases stand out. Refer to *The Navy Enlisted Performance Evaluation System*, NAVMILPERSCOMINST 1616.1A, and the *Enlisted Evaluation Manual*, BUPERSINST 1616.9, for additional information.

### Reviewing Enlisted Evaluations

The leading petty officer (LPO) should submit to you the rough evaluation and a copy of the enlisted evaluation report-individual input form (NAVPERS 1616/21), or "brag sheet" as it is known. You should now prepare the evaluation.

Your role in the evaluation process is to compile the inputs and assure completion, correctness, and consistency among your different work centers. Use service records, your notes, counseling files, and brag sheets to ensure completion and accuracy of the evaluations.

Observe how each work center tends to mark the evaluations. Some evaluations may tend to be skewed higher or lower than the normal standard. Make corrections as appropriate.

You should now make sure that written remarks on the evaluation are in the proper format and void of grammatical errors. When you are happy with the way the evaluations read, then pass the rough evaluations to the division officer.

Any changes that are made to the evaluation by the chain of command above you should be discussed with the division officer. As always, stay informed!

## COMMUNICATION

The chief petty officer is often called upon to provide briefings, write messages, and prepare naval correspondence. You may at some point be asked to perform these functions also. This section should provide you with a knowledge base from which you can build your communication skills.

## THE MILITARY BRIEFING

An additional administrative duty you may have as a CPO is to prepare a briefing. The primary purpose of a briefing is to inform, but it also may have other purposes: first, to ensure the listener's understanding of a particular mission, operation, or concept; second, to enable the listener to perform a specific procedure; and third, to provide the listener with information on which to base decisions.

Often several people participate in a briefing. In a briefing for an operational plan, for instance, one group may cover the administrative, tactical, logistical, and operational phases; and another group may explain the mission. To enable the listeners to grasp all this information as a unit, each briefer must give only the essential information in as few words and as few minutes as completeness and clarity will permit.

In preparing to brief others, you must analyze a mass of data, choose the really significant facts, and organize them carefully. Your explanation should be simple, precise, and factual. Jokes and anecdotes rarely have a place in a briefing. The listeners are ready for a serious talk. They want to hear the vital information on a specific subject presented as clearly as possible. If you are able, however, you may occasionally use humor to help you make a point or clarify a problem. When you give a briefing, you are likely to face a captive audience. Analyze the rank and experience of the people you are to brief, and try to determine what your best approach will be. You cannot always say what your listeners want to hear, but you can try to speak in the manner they will most easily understand.

Another thing to consider, which is almost as important as the content, is the technical aspects of the presentation itself. Your visual aids should be as good as you can make them and, above all, they should be correct. Slides containing errors in spelling, grammar, and computations distract your audience and undermine your credibility. Speak clearly and distinctly to your audience. If you do all these things and have your briefing well organized, you will be successful.

## Organization of a Briefing

The special requirements of a briefing impose certain limitations upon the speaker. The traditional plan of organization, with an introduction, a body, and a conclusion, is adaptable to the clarity, accuracy, and brevity necessary in a good briefing.

**INTRODUCTION.**—Since your listeners need and want to know about your subject, you will not need time-consuming, attention-getting devices. If another speaker introduces you and your subject, you need only give a quick overview of the subject and proceed immediately to the main points. If you are not introduced, you might simply say, "Good morning. I'm Chief Petty Officer Jones; I'll be briefing you on \_\_\_\_\_."

**BODY.**—The information for the body of your briefing requires careful consideration from the standpoint of content as well as delivery. If possible, present only the facts. Your facts should be provable, and you should have the proof with you in case your listeners ask for it. Because you must be brief, you may have to omit many details from your talk. This can cause you to oversimplify a difficult subject. One way to avoid oversimplification is to prepare a folder of "documentation" for your listeners to refer to after you finish the briefing. In your opening remarks, tell them it is available. You gain in several ways from letting your listeners know at the outset that they will have access to complete information on your subject. First, your listeners are more apt to accept the validity of your information because they know they can check your evidence. Second, they are less likely to ask needless questions or to interrupt for other reasons. And third, they will go along with very simple visual aids because they know they can get more detailed information if they need it. Another way is to prepare "backup" slides that present detailed information on specific

issues. If questions are asked, you will be ready and will increase the confidence your audience has in you.

If certain facts are not available and you must make an assumption, identify the assumption, say that it is necessary, and continue. If your listeners wish to challenge the assumption, they can do so during the question-and-answer period, at which time you should be able to explain your rationale. Normally, you do not interpret the information in your briefing. Present the facts and let your listeners draw the conclusions. Such phrases as "In my opinion," "I think," and "I take this to mean" are generally signs that the briefer is going beyond the mere presentation of information and is interpreting the meaning of the information.

Emotional appeals have no place in a briefing. Your listeners will be justified in doubting your objectivity if your presentation is charged with emotion. This does not mean that your delivery should be dry and lifeless—rather, quite the contrary. Because you must present pertinent information and nothing more, you should strive for an animated and interesting delivery. Visual aids can help you show quickly and clearly many things that you would have trouble putting into words. One glance at a map would show your listeners more about air bases in Communist China than 15 minutes of words alone. Practice the briefing with your visual aids until you can use them smoothly. They should be an integral part of your presentation. If you do not practice your briefing, such simple acts as uncovering or recovering a chart can cause awkward breaks in a briefing.

**CONCLUSION.**—This part of a briefing should be short but positive. Summarize your main points if you feel it is necessary. Since a question-and-answer period usually follows a briefing, a good concluding sentence might be "Ladies and gentlemen, are there any questions?" If a question period is not to follow, you might simply say, "Ladies and gentlemen, this concludes my briefing."

Clear, logical organization of your material will help your listeners understand it. In organizing the introduction, body, and conclusion of the briefing, keep the purpose in mind. It can be to give your listeners an understanding of a certain mission, operation, or concept. Or it can be to enable them to perform a specific procedure. In

either case, organize your material to inform as you would for a speech. On the other hand, if the purpose is to provide your listeners with information on which to base decisions, a problem-solving plan to organization can be most effective.

When you prepare and deliver briefings, remember their basic function is to convey information more rapidly and effectively than would be possible by any other means. It takes practice to become an excellent briefer. Experience in other types of public speaking and in writing also helps. As a member of the Navy, you need to be adept at stating your ideas accurately, briefly, and clearly.

### **Procedures for Presenting a Briefing**

When you are giving a prepared briefing, your briefing needs to support four basic areas:

1. You should state the point clearly and concisely at the beginning of your briefing so that your audience knows what they are listening to and what they can expect from the rest of your briefing.

2. You must amplify the point you are trying to make or the area you are trying to cover.

3. You should support that point. You must bring the audience enough information to inform them or to help them make a decision, whatever the purpose of your presentation happens to be.

4. You must end your briefing appropriately. The conclusion should bring the briefing together in a concise manner, reviewing the topic but keeping it short.

### **REVIEWING NAVAL MESSAGES AND CORRESPONDENCE**

An ability to communicate in the written form will serve you well throughout your naval career. As you progress more and more people expect you to be able to communicate clearly and concisely. This section of the chapter will discuss some of the basic procedures to review messages and correspondence prepared by your subordinates.

Basically you will be reviewing for content, spelling, and punctuation. If your command is equipped with personal computers, your job will be much easier. Unclassified documents can be written and edited on the computer. You may use programs such as Wordperfect or Wordstar to write, edit, spell check, or substitute words using the thesaurus. Sentence structure can be checked using a program such as Rightwriter.

If your message or correspondence is classified, you should check the document manually. A good desk reference set is a must. As a minimum you should have:

- A standard desk dictionary and thesaurus
- *Hodge's Harbrace College Handbook or Chicago Style Manual*
- *Telecommunications Users Manual*, NTP 3(H)
- *U.S. Navy Plain Language Dictionary*, NTP 3, SUPP-1(K)
- *Department of the Navy Correspondence Manual*, SECNAV Instruction 5216.5C
- *Naval Terms Dictionary*

Ensure the message or correspondence is brief, simple, and clearly written. Elements of well-written messages or correspondence include the following:

- Introduction—state the purpose.
- Body—discuss the subject.
- Closing—present your conclusions or recommendations.
- Appendix or enclosures—include pertinent details (not always required).

Begin your review by making sure the document is in the correct format. Read the document for content. If you have questions about the accuracy of the information, ask the petty officer who wrote the document to clarify your questions. Check the document for mechanical defects. You do this by making sure each sentence starts with a capital letter, each sentence ends with the appropriate punctuation, and the appropriate words begin with capital letters. Make sure spelling is correct and redundant words or sentences are deleted.

## **SHIP'S ORGANIZATION AND REGULATIONS MANUAL (SORM)**

Your command's *Standard Organization and Regulations Manual (SORM)* is a command-specific version of the *Standard Organization and*

*Regulations of the U.S. Navy (SORN)*. The *SORM* should be arranged in the same manner as the *SORN* and contain detailed bills as they apply to your command. This section covers your responsibility to keep the *SORM* current and up-to-date.

## **PURPOSE**

The purpose for updating the *SORM* is to make sure you are operating your work center or division using the most up-to-date information and procedures available. The *SORM* should be updated at least annually to remain current. Reasons for the annual update include the following:

- Instructions have been issued, deleted, changed, or revised
- Equipment has been added, deleted, or changed

## **REVIEWING THE SORM**

You should review the *SORM* every time an event occurs that effects the normal operation of your work center or division. Review the section of the *SORM* relevant to the event to see if a change in the *SORM* is warranted. You are in the best position to determine if and how much changes in instructions or equipment affect the *SORM*. Do not rely on the commanding officer, executive officer, department head, or division officer to notice if the *SORM* needs to be updated. They do not have the time or the detailed knowledge that you do.

## **PREPARING AND SUBMITTING CHANGES TO THE SORM**

You have been doing your job and have not had an event that changes the normal operation of your work center during the last year. Do you need to review the *SORM*? Of course you do!

Review the areas of the *SORM* that affect your work center or division. Compare the listed references in each section to the latest copy of the command's master directives and issuance list. Your administrative office should have a 5215 master list that contains all instructions applicable to your ship.

Out-of-date references indicate a need to update the effected ship's bill or regulation. Read and compare the old ship's bill or regulation to the updated references and note the changes. Changes to equipment that affect ship's bills also need to be incorporated into the *SORM*.

Incorporate the changes into the ship's bill or regulation and update the references listed. You should now send the rough update and new references through the chain of command for approval.

## SUMMARY

This chapter began with a look at the budget process, preparation of the divisional budget, and types of budgeting. The budget process begins with the President and continues down the chain of command. Although the commanding officer is responsible for the ship's budget, you should play a major role in determining your division's requirements and submitting the requirements up the chain of command.

At the CPO level of management, you will find a need for a better understanding of the supply organization and its procedures. You may be assigned as a member of an ILO team or as a department custodian. In these positions, you must understand budget and quantity requirements, ordering procedures, stowage requirements, and custody records. You will also assist in the assignment of priorities used by your command. You will have to become familiar with the information contained in the OPTAR, COSAL, SNSL, ISL, CEIL, and casualty reports (CASREPs). Other procedures you will become familiar with may include inventory, investigation, and the survey of equipment. Your duties may include everything from initial budget requests to equipment handling or the final disposal of materials required to keep your ship at its top mission capability.

With the ever-increasing use of automatic data processing (ADP), the Navy has adapted many of its tedious and time-consuming tasks to automation. The two main systems you will most likely encounter are the Shipboard Nontactical ADP Program (SNAP I) and the Shipboard Nontactical ADP Program (SNAP II).

Counseling personnel is one of the most important jobs of the chief petty officer. You will counsel subordinate personnel on profession, personal, and performance matters. In addition, you will also provide guidance and review enlisted evaluations. You will also counsel your subordinates on their enlisted evaluations.

The ability to draft different types of official letters, messages, and reports is one of the many tasks demanded of a CPO. Each type of correspondence has its own set of standards. These standards are necessary in preparing correspondence that includes all of the information necessary to make it complete and understandable. These standards also assist the writer, as well as the reader, in ensuring that correspondence gets where it is intended to go. The standards also help the writer in preparing information that will be clearly understood. Proper format, identification, routing, and filing are all necessary elements of this system.

You should review your command *Standard Organization and Regulations Manual (SORM)* on a periodic basis to make sure it is current as it applies to your division. Anytime an event occurs that affects the operation of your division; an instruction changes, or equipment is added, removed, or changed, you should check the *SORM* to ensure it is still current.

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# **CHAPTER 5**

## **CAREER INFORMATION AND TRAINING**

### **LEARNING OBJECTIVES**

Upon completion of this chapter, you should be able to do the following:

1. Recognize career information to be provided to junior personnel.
  2. Identify the roles and functions of chief petty officers.
  3. Identify the Navy retirement programs.
  4. Explain how to plan and conduct training.
- 

Chief, senior chief, and master chief petty officers each have a distinct role and function within the Navy. You should be aware of the responsibilities associated with these positions as you advance. One of your responsibilities is to be able to provide junior personnel with career information.

The first part of this chapter presents information you and your junior personnel need to know as you develop your naval career. It explains the traditional benefits, entitlements, education, commissioning programs, and health care available.

Since you will retire at some point in your career, you also need to know about your retirement benefits. You may decide to retire with only 20 years of service or wait to retire with 30 years of service. In either case you need to know what retirement benefits you will have so that you can plan for retirement. This text provides a brief overview of the retirement program. Since junior personnel also need to plan for retirement, you should be able to present them with this information.

The last part of this chapter covers training programs. It explains how you can plan and direct personnel training within your division or work center. It also discusses your responsibility in training junior officers to conduct Navy business.

### **CAREER INFORMATION**

An important job of a chief petty officer is to provide junior personnel with accurate information about the advantages and the development of a Navy career. Before you can provide junior personnel with accurate career information, you need to interview them about their background, their interests, and their qualifications. Based on that information, you can counsel personnel about the various career development programs and training available to help them advance. You can also counsel with them about the many duty assignments, benefits, and entitlements the Navy offers. Plan to conduct the first career counseling session about 2 years into their career.

### **THE INTERVIEW**

The purpose of an interview with your junior personnel is to inform them about the Navy and the benefits they are entitled to. You may conduct informal and formal interviews.

The informal interview often takes place on the deck or in a lounge when counselees ask you questions about specific programs. This type of interview is difficult because you may not know if they qualify for certain programs. When you conduct informal interviews, follow the policy of giving a general overview of programs and getting back to the counselees with specific details. When

you research the specific details of the programs the people ask about, check to see if they qualify for those programs.

Conduct the formal interview in a quiet setting, such as a private office. Before you interview people, review their service record, prepare background information, and identify programs for which they qualify. At the start of an interview, describe why you are conducting the interview. Then follow the same procedure you would use in conducting a counseling session, as described in chapter 4. Ask questions and then rephrase the answers to ensure you understand what was said. Let personnel describe their interests and goals. Then be sure you discuss projected rotation dates (PRDs).

### Status and Goals

Determine the status and goals of your personnel during the interview. What types of programs is the counselee qualified for? How far along has the person progressed toward a college degree or advancement? Has the individual qualified for special schooling?

Ask counselees to state their career goals. If counselees have set goals they cannot easily reach or for which they do not qualify, help them modify those goals. If a person's goal is a college degree, find out how much credit the individual can receive for Navy schools. See if the counselee could receive an associate degree by taking one or two Program for Afloat College Education (PACE) courses? If a person wishes to attend a certain A or C school, determine if the person will need to extend his or her enlistment.

### Sea and Shore PRDs

Inform counselees of the sea and shore rotation of their specific rating. The sea and shore rotation changes periodically, but persons may not be aware of the change. Also, when personnel apply for certain programs, such as the Selective Training and Reenlistment (STAR) Program or Selective Conversion and Reenlistment (SCORE) Program, the sea or shore rotation could change. Let counselees know when they are due to rotate to a new command. Projected rotation dates (PRDs) can be changed to match school quotas.

## SELECTIVE TRAINING AND REENLISTMENT PROGRAM

The Selective Training and Reenlistment (STAR) Program offers career designation to first-term members who reenlist and establish career eligibility for the following incentives:

- Guaranteed assignment to a class A or C school or C school package
- Guaranteed advancement to petty officer second class if eligible after completion of C school or the C school package listed on the current career school listing
- Guaranteed advancement to petty officer third class after completion of Phase I of Advanced Electronics Field A school
- Selective reenlistment bonus (SRB) if eligible

## SELECTIVE CONVERSION AND REENLISTMENT PROGRAM

The Selective Conversion and Reenlistment (SCORE) Program offers the following career incentives to members who reenlist for conversion to critically undermanned ratings:

- Guaranteed assignment to A school with automatic rating conversion upon graduation
- Guaranteed assignment to an appropriate C school or C school package if available
- Automatic advancement to petty officer second class upon completion of C school or the C school package as indicated on the current career schools listing in the *Naval Military Personnel Manual* (NAVPERS 15560A)
- SRB if eligible

## TRADITIONAL BENEFITS

Traditional benefits are for all persons in the Navy, regardless of rank or rate. These benefits include leave, recreation, family services, Navy lodging, and low-cost life insurance.

## Leave

Each person in the naval service earns 30 days of paid leave each year in addition to holidays. A person would have to work many years to earn a benefit of that size in the civilian sector.

## Recreation

Many naval stations, bases, and airfields have outstanding recreational facilities armed forces personnel and their families can use at no cost or at a nominal cost. The quality of facilities varies with each site; however, most facilities rival those found in the civilian sector. Additionally, many commands allow service members to take part in intramural sports during working hours.

## Family Services

Family Service Centers (FSCs) provide services, information, and referral on a full range of family-related resources, organizations, and programs. The many internal and external family service programs FSCs offer include the following:

- American Red Cross
- Navy Sponsor Program
- Chamber of Commerce
- United Services Organizations (USO)
- Navy League
- Volunteer programs
- Navy Relief Society
- Wives clubs
- Family Ombudsman programs
- Family information schools
- Public Affairs Office
- Personal and family enrichment programs
- Financial counseling and education
- Child care information and services
- Relocation information and services

- Emergency services and assistance
- Special needs family information
- Retired personnel information
- Welcome aboard packages
- Hospitality kits
- Wifeline publications
- Sponsor Program guidance and assistance

## Navy Lodge

Navy lodges provide temporary, inexpensive housing for military personnel and their families for up to 30 days during permanent change of station transfers. Under hardship conditions the local commander may authorize an extension on a case-by-case basis. Lodging for military personnel and their families, relatives, and guests is provided for short visits. Retired military personnel and their families may stay at the Navy lodge on a space-available basis. Transient military personnel on temporary duty orders may use the Navy lodge if the bachelor facilities are full. The toll free telephone number for the Navy Lodge is 1-800-Navy-Inn (1-800-628-9466).

## Low-Cost Life Insurance

An overlooked benefit of being in the Navy is low-cost life insurance. Many servicemen's benefit organizations offer excellent low-cost life insurance. You should comparison shop to receive the best overall value. The Navy officially recognizes and endorses only two sources of low-cost life insurance for active-duty personnel: Serviceman's Group Life Insurance (SGLI) and the Navy Mutual Aid Society.

**SERVICEMAN'S GROUP LIFE INSURANCE (SGLI).**—SGLI is available to personnel serving on active duty, serving on active duty for training, or performing inactive duty for training. Coverage is available while personnel are on active duty and up to 120 days after separation. The cost is \$.40 a month per \$5,000 of coverage to a maximum of \$100,000. Personnel automatically receive maximum coverage upon entering the service.

**NAVY MUTUAL AID SOCIETY.**—The Navy Mutual Aid Society is the only organization

Table 5-1.—Cost of Term Insurance Offered by the Navy Mutual Aid Society

WHILE ON ACTIVE DUTY OR ANNUAL TRAINING			
AGE	BASIC UNIT	BASIC + SUPP 1	BASIC + SUPP 1&2
under 26	\$105,000(71,000)*	\$225,000(143,000)*	\$370,000(230,000)*
26-29	105,000(71,000)*	200,000(128,000)*	310,000(194,000)*
30-34	75,000(53,000)*	135,000( 89,000)*	210,000(134,000)*
35-39	75,000	115,000	165,000
40-44	75,000	102,000	135,000
45-49	75,000	88,000	105,000
50-54	75,000	82,000	90,000
55-59	75,000	80,000	87,000
60-64	75,000	79,000	84,000
65-69	75,000	78,000	81,000
70 +	75,000	76,000	78,000
Monthly Premium Nonsmoker All Ages	\$ 8.00	\$15 00	\$22.00
Net Cost After Refund**	\$ 3.00	\$ 6 50	\$10 75
Monthly Premium Smoker All Ages	\$10.40	\$19 50	\$28 60
Net Cost After Refund**	\$ 5 40	\$12 45	\$20 15
*Reduced benefits applicable only to members under age 35 who die as a result of a military aviation incident while a member of the flight crew			
**Based on current cash refund for those on active duty 31 December 1989			
NOT ON ACTIVE DUTY OR ANNUAL TRAINING (Retirees/Separatees/Spouses)			
AGE	BASIC UNIT	BASIC + SUPP 1	BASIC + SUPP 1&2
under 30	\$75,000	\$175,000	\$300,000
30-34	70,000	130,000	205,000
35-39	60,000	105,000	160,000
40-44	50,000	81,000	120,000
45-49	35,000	57,000	85,000
50-54	25,000	41,000	60,000
55-59	16,000	27,000	41,000
60-64	13,000	22,000	33,000
65-69	5,000	9,000	13,000
70 +	2,000	3,000	5,000
Monthly Premium Nonsmoker All Ages	\$ 8.00	\$15 00	\$22 00
Net Cost After Refund*	\$ 8 00	\$12.90	\$18 25
Monthly Premium Smoker All Ages	\$10.40	\$19 50	\$28 60
Net Cost After Refund*	\$10 40	\$17.40	\$24.85
*Based on current cash refund			

offering supplemental insurance formally recognized and endorsed by the Navy. Formed in July 1879, the society is a nonprofit, tax exempt, voluntary membership association of sea service personnel and their families. The Chief of Naval Operations (CNO) traditionally serves as the Chairman of the Board of Directors.

The purpose of the Navy Mutual Aid Society is to provide members, their dependents, or their beneficiaries aid through low-cost life insurance. It also helps dependents and beneficiaries secure, at no cost, the federal benefits to which they are entitled.

While on active duty, you carry level term insurance (basic coverage only); after separation, it changes to decreasing term. Cost varies for smokers and nonsmokers and includes a yearly refund (see table 5-1). The toll free number for the Navy Mutual Aid Society is 1-800-628-6011.

## **ENTITLEMENTS**

Naval personnel are guaranteed certain benefits not always offered by the civilian community: shipment of household effects, travel, survivor benefits, and retirement

### **Household Effects**

The Navy will pay for the movement of household effects in connection with a permanent change of station move. You may also elect to move your household effects yourself and be reimbursed by the government. Weight allowances vary with paygrade. Under certain conditions you may be authorized to place excess household goods in storage at government expense.

Personnel authorized travel for dependents and those persons who own a house trailer may be authorized a trailer allowance. Generally, payment is limited to the cost of moving the trailer and cannot exceed the cost to move the member's authorized household goods weight allowance.

### **Travel**

During a permanent change of station move, you are eligible for monetary allowance in lieu of transportation (MALT) plus per diem. Per diem is an amount of money used to reimburse you for lodging, meals, and other incidental expenses incurred during travel under orders. You receive MALT in the form of cash payments when the government does not provide transportation.

Dependents are allowed transportation at government expense whenever you make a permanent change of station move.

You may be entitled to a dislocation allowance to partially reimburse you for expenses incurred during a permanent change of station move. Dislocation allowance is equal to 1 month's basic allowance for quarters (BAQ) for your dependency status and paygrade.

Because the amount of money allowed with a permanent change of station move varies, check with your disbursing officer to ensure you receive the full amount.

You and your family can take advantage of low-cost air transportation provided by space-available (Space-A) flights on military aircraft. Since some restrictions apply to Space-A travel, you should obtain a Space-A pamphlet from the Air Force or nearest military terminal if you are interested.

### **Survivor Benefits**

Your dependents are entitled to certain benefits if you die on active duty. These benefits include a death gratuity, servicemen's group life insurance, dependency and indemnity compensation (DIC), and social security. Your spouse would receive a one-time payment of \$3,000 death gratuity, \$255 social security, and \$100,000 servicemen's group life insurance. Your spouse would then receive monthly payments from Social Security and dependency and indemnity compensation. The amount of the monthly payments depends on the number and age of your children, your paygrade, and your base pay. Your local Family Service Center or professional organization can compute the monthly payments your spouse would receive.

### **Retirement**

Everyone on active duty who meets the high-year tenure requirements has the opportunity to retire after 20 years of active federal service. All personnel on active duty who meet the high-year tenure requirements must retire after 30 years of active federal service unless they have a waiver. Retirement will be discussed in greater detail later in this chapter under "Fleet Reserve and Retirement."

## **SELECTIVE REENLISTMENT BONUS (SRB)**

Selective reenlistment bonuses are paid to service members as an incentive to stay in the Navy. The amount paid depends on how critically manned the rating is. Service members eligible for SRB will fall into one of three separate zones.

Zone A is for people who have completed 21 months of continuous active naval service, but not more than 6 years of continuous active naval service.

Zone B is for people who have completed 6 but not more than 10 years of active military service immediately preceding the date of reenlistment.

Zone C is for people who have completed 10 but not more than 14 years of active military service on the date of reenlistment.

Check with your career counselor to determine what zone, if any, you are eligible for. The amount of money paid varies periodically with the needs of the Navy. Your career counselor and disbursing clerk can help you determine the amount of money you are eligible to receive.

## **NAVY SCHOOLING**

Most people associate Navy schools with A or C schools. You can receive many schools of short duration through use of the Navy Fleet Training Centers (FTCs), Mobile Technical Units (MOTUs), and Shore Intermediate Maintenance Activities (SIMAs). The schools range from 1 day to 2 weeks in duration. You can arrange for classes through the quota control office at the school. You need only receive permission from your command to attend.

You can arrange to attend class A and C schools through your detailer as a condition of your reenlistment.

## **ADVANCEMENT**

Advancement is based on the needs of the Navy, your advancement examination score, the awards you have received, and your length of service. E-7 and E-8 advancements are based on sustained superior performance as evaluated by a selection board.

## **EDUCATION**

Education is becoming more important to the Navy and American society in general as job

complexity increases. The Navy offers a wide variety of programs designed to assist you in pursuing off-duty education.

### **Tuition Assistance**

The Tuition Assistance (TA) Program provides in-service financial assistance to all personnel wishing to take part in voluntary off-duty education. It does not affect VA educational entitlements. Commissioned and chief warrant officers who complete a TA-funded course incur a 2-year obligation following completion of the course. TA is the major financial support system by which active-duty personnel can continue their education during off-duty hours.

Approved institutions include regionally accredited colleges and universities, trade and technical schools accredited by the National Association of Trade and Technical Schools (NATTS), schools accredited by the Association of Independent Colleges and Schools (AICS), and regionally accredited secondary and post secondary schools. *Accredited Institutions of Post Secondary Education*, published annually by the American Council on Education, contains a complete listing of eligible tuition assistance institutions.

The TA Program provides the following funding:

1. Seventy-five percent of tuition costs for all active-duty personnel regardless of rank, paygrade, or length of service
2. One hundred percent of tuition costs for courses leading to a high school diploma
3. Expenses for instructional fees, such as lab, shop, and studio fees, and consumable materials required for completion of a course, provided these costs are customary for like courses on the main campus (The program will not pay for books or other administrative fees levied by the institution.)

When TA funds are constrained, the Chief of Naval Operations may impose policy changes on the level of funding and the priorities for authorizing TA.

### **Program for Afloat College Education (PACE)**

The Navy organized a program of studies for the crews of Polaris submarines to provide a

productive off-duty, off-watch activity. The original program, known as the Program for Afloat College Education, or PACE, was expanded in the 1970s to include surface ships. Through PACE, the Navy contracts with civilian colleges to provide instructors to teach college courses aboard deployed ships. PACE is designed to provide shipboard personnel with educational opportunities comparable to those available to personnel stationed ashore. Whether or not a particular ship offers PACE courses is up to the commanding officer.

### **National Apprenticeship Program**

The National Apprenticeship Program is designed to provide a way for skilled Navy technicians to gain journeyman status with the Department of Labor in a recognized civilian trade. The apprenticeship program has two objectives. The first objective is to develop Navy-oriented journeymen to use their technical skills within the Navy. The second is to enable those journeymen to qualify for civilian employment upon retirement or expiration of enlistment. Meeting the standards of the apprenticeship program can also lead to an advancement in rating. The National Apprenticeship Program benefits the Navy and its personnel in the following ways:

- Provides the opportunity for Navy personnel to qualify as journeymen in selected trades
- Supports advancement in rating
- Instills job pride
- Provides civilian recognition of Navy skills
- Encourages reenlistment

The Chief of Naval Education and Training identifies the trades to be considered as apprentice occupations within the active-duty Navy. Although the Navy ratings eligible for this program are limited, additional ratings are being added. For further information about the National Apprenticeship Program, see the *Educational Services Officer*, NAVEDTRA 10460-A.

### **Defense Activity for Non-Traditional Education Support (DANTES)**

The Defense Activity for Non-Traditional Education Support (DANTES) is a Department

of Defense (DOD) agency that supports the voluntary education programs of each military service, including Reserve personnel. DANTES was authorized by the Department of Defense after the disestablishment of the old United States Armed Forces Institute (USAFI). DANTES is located at the Naval Education and Training Program Management Support Activity, Pensacola, Florida. The Department of the Navy is designated as the executive agent for DANTES. DANTES services include, but are not limited to, the following:

- Providing a wide range of examination and certification programs
- Operating an independent study support system
- Providing for the evaluation of military learning experiences
- Providing educational and informational materials
- Providing support for new educational development activities

Through DANTES, service members have the same nontraditional educational advantages as their civilian counterparts. To accomplish its mission, DANTES has negotiated contracts to administer the following services:

- General and subject examinations for the College Level Examination Program (CLEP), which allow the member to receive college credit without taking the course
- Academic and technical college DANTES Subject Standardized Tests (DSSTs)
- College entrance examinations including Scholastic Aptitude Tests (SAT) and the American Council on Education (ACE) guide series
- General Educational Development (GED) tests (high school equivalency)
- Independent study courses for credit
- Experiential Learning Assessment (ELA) Program (used by many colleges and universities to evaluate college-equivalent prior learning attained by students outside the classroom)

## **Servicemembers Opportunity College (SOC)**

The Servicemembers Opportunity College (SOC) consists of a national group of more than 450 colleges. These colleges have agreed to cooperate with the Department of Defense (DOD), the military services, and the Coast Guard to support voluntary education programs. SOC members include universities, 4-year and 2-year colleges, and technical institutes. SOC members subscribe to specific principles and criteria to ensure that high-quality academic programs are available to military students.

## **Navy Associate Degree Program (SOCNAV)**

The Navy Associate Degree Program (SOCNAV) is the associate degree program for the Navy coordinated by SOC. It consists of groups of accredited colleges offering associate degree programs on or accessible to Navy installations worldwide. The associate degree programs are offered in fields of study relating to the members' ratings. A plan for a 4-year baccalaureate degree program, similar to the associate degree program, is being considered. Within each of the curriculum areas, the member colleges guarantee to accept each others' credits for transfer. An official evaluation of all prior learning is issued by the "parent" college as a SOCNAV Student Agreement. This agreement serves as the student's academic plan and contract for the degree.

Presently, SOCNAV includes 41 colleges supporting 10 networks (each consisting of separate curriculum areas) at over 100 Navy installations. All SOCNAV networks relate to military occupations.

## **Montgomery GI Bill (MGIB) Act of 1984**

Beginning on 1 July 1985, nonprior service members entering active duty began receiving educational benefits under the Montgomery GI Bill (MGIB). Service members eligible for the Vietnam Era GI Bill also became eligible to receive benefits under the MGIB as of 1 January 1990. Service members who entered active duty after 31 December 1976 and are eligible for the Veterans' Educational Assistance Program (VEAP) are not eligible. Beginning 1 July 1985 Selected Reserve and National Guard personnel also became eligible for certain MGIB benefits.

The MGIB provides for basic financial assistance in the amount of \$300 per month for 36 months. Members may use their educational benefits while in service after 2 years of active duty. Members must use all benefits within 10 years after the date of their last discharge or release from active duty.

Those who began active duty after 30 June 1985 automatically incur a monthly pay reduction of \$100 per month for 12 months unless they elect not to take part in this program. Service members must make this one-time, irrevocable decision when they begin active duty. Officer candidates make this decision at the time of their commissioning. Vietnam Era GI Bill personnel are not required to contribute to the program to remain eligible.

Service members who do not meet the criteria to convert benefits retain Vietnam Era GI Bill benefits, which they must use by 31 December 1989.

Those persons who were on active duty on 1 July 1988 retain Vietnam Era benefits and are covered by the new GI Bill.

On 1 January 1990 eligible members were automatically covered by the MGIB at a rate of \$300 per month plus one-half of their Vietnam Era GI Bill entitlement rate that was effective 31 December 1989. This payment may not exceed 36 months or the number of months of remaining Vietnam Era entitlement, whichever is less. The total entitlement used under both bills cannot exceed 48 months.

## **DUTY ASSIGNMENTS**

You have the opportunity to work with your detailee to receive a favorable set of orders. Under the Guaranteed Assignment Retention Detailing (Guard) III program, you may be able to receive two guaranteed duty assignments. You must use the first Guard III assignment during your first reenlistment. You can use the second Guard III assignment anytime up to your 25th year of service.

## **COMMISSIONING PROGRAMS**

The Navy offers many ways for young enlisted personnel to join the officer ranks. Young sailors can apply for the Naval Academy or the Broadened Opportunity for Officer Selection and Training (BOOST) Program or seek a college degree and apply for a direct commission. Senior enlisted personnel can apply for the Chief

Warrant Officer Program, Limited Duty Officer Program, or other commissioning programs if eligible.

### **United States Naval Academy (USNA)**

The Navy's own undergraduate professional college, the United States Naval Academy (USNA) in Annapolis, Maryland, is the academic training ground for future naval officers. The Academy prepares young men and women, morally, mentally, and physically to be professional officers in the Navy or Marine Corps. The following features are characteristic of the Academy:

- It is the Navy's own undergraduate professional college.
- Candidates are nominated from several sources.
- It offers 4 years of college leading to a commission in the Navy or Marine Corps.

The Academy is one of those exceptional education programs available to enlisted men and women in the Navy. Keen chief petty officers and good command personnel are required to identify young enlisted men and women who are potential candidates for this program. Even if an applicant is not selected for direct entry into the Naval Academy, each candidate is automatically considered for entrance into the Academy's preparatory school.

High school students and active-duty military personnel may be nominated to the Academy by the President or Vice President of the United States, a senator, a congressional representative; or by civil officials of Puerto Rico, the Virgin Islands, Guam, or American Samoa. High school students should begin the application process in their junior year. Applicants must meet the following basic eligibility requirements:

- Be a citizen of the United States
- Have good moral character
- Be unmarried and have no dependents
- Be at least 17 years of age and not have reached the 22nd birthday on 1 July of the year of admission to the Naval Academy
- Qualify scholastically, physically, and medically

### **The Chief Warrant Officer (CWO) Program**

The Chief Warrant Officer Program provides outstanding active-duty Regular Navy or Naval Reserve personnel a direct path of advancement to chief warrant officer.

To be eligible for appointment, an applicant must meet the following requirements:

- Be a U.S. citizen
- Be serving on active duty as a CPO, an SCPO, or an MCPO in the Regular Navy, Naval Reserve, or Training and Administration of Reserves (TAR) program at the time of application
- Be physically qualified for appointment as a chief warrant officer
- Be a high school graduate or possess the service-accepted equivalent
- Have no record of conviction by court-martial or of conviction by civil court for any offenses other than minor traffic violations for 4 years preceding 1 October of the year of application
- Be recommended by the commanding officer
- Must have completed at least 12 years, but not more than 24 years, of active service on 1 October of the year application is made

### **The Limited Duty Officer (LDO) Program**

The Limited Duty Officer (LDO) Program provides a path of advancement for PO1s through SCPOs and chief warrant officers to commissioning as a temporary ensign or lieutenant junior grade (as applicable) in the Regular Navy or Naval Reserve.

The applicant must meet the following eligibility requirements to apply for the LDO Program:

- Be a U.S. citizen
- Be serving on active duty in the Regular Navy, Naval Reserve, or TAR program at the time of application (If selected, inactive Reserve personnel must remain on active duty until appointment is tendered.)

- Be physically qualified for appointment to LDO
- Be a high school graduate or possess the service-accepted equivalent
- Have no record of conviction by court-martial or of conviction by civil court for any offense other than minor traffic violations for 4 years preceding 1 October of the year in which application is made
- Be recommended by the commanding officer
- Be serving as a PO1, CPO, or SCPO on 1 October of the year in which application is made (If a PO1, the applicant must have served in that capacity for at least 1 year as of 1 October of the year in which application is made.)
- Have completed at least 8 years, but not more than 16 years, of active naval service on 1 October of the year in which application is made
- (PO1 applicants only) Have completed all requirements for advancement to CPO, with the exception of time in paygrade, and successfully competed in the annual Navy-wide advancement examination cycle administered in January of the year of application (A candidate whose final multiple is equal to, or greater than, the minimum final multiple for PASS SELECTION BOARD ELIGIBLE will be designated LDO SELECTION BOARD ELIGIBLE. A PO1 who is presently authorized advancement to CPO is exempt from the CPO Navywide examination qualification.)

CPOs and SCPOs with at least 12 years, but not more than 16 years, of naval service may apply for LDO and CWO in the same application year, but may request only one designator for each program.

The following policies apply to the LDO and CWO Programs:

- No age stipulation is required for LDO/CWO candidates.

- The number of times an LDO/CWO candidate may apply from the same enlisted paygrade is unrestricted.
- E-6s, E-7s, and E-8s with 8 to 16 years of service are eligible for LDO Ensign.
- E-7s and E-8s with 12 to 24 years of service are eligible for CWO2.
- E-9s with 2 years in grade and not more than 24 years of service are eligible for CWO3.
- The time-in-rate date is used to compute minimum and maximum eligibility.
- Candidates for CWO2 and CWO3 compete on an equal basis.
- After 2 years as a CWO, a person may compete for selection to LDO at paygrade O-2.
- Prior military service that parallels current service can count toward minimum eligibility requirements.

#### **Broadened Opportunity for Officer Selection and Training (BOOST)**

The BOOST Program provides qualified and selected candidates a special opportunity. It offers them the educational "boost" they need to obtain a scholarship to the Naval Reserve Officer Training Corps (NROTC) or entry into the Naval Academy. It is designed to accomplish the following goals:

- Provide an opportunity for educationally or financially disadvantaged enlisted personnel to apply for either an NROTC scholarship or entry into the Naval Academy
- Provide college preparatory instruction

Some ambitious young men and women are not adequately prepared to compete on an equal

basis with other students applying for NROTC scholarships or admission to the Naval Academy. The BOOST Program gives these young people every opportunity to succeed. This program is a major part of the Navy's affirmative action plan. Interested minority personnel are strongly encouraged to apply.

The BOOST Program provides successful students with a 4-year undergraduate education. It opens a direct pathway for enlisted personnel to attain professional status as Navy officers after graduation from college. The program helps these people acquire the scholastic skills and academic credentials that place the BOOST graduates on a par with their college-bound peers. Before helping personnel apply for the BOOST Program, you should ensure applicants are genuinely interested in pursuing a Navy career. Those persons selected are expected to enter college well prepared to meet the academic challenges and demands of a commissioning education program.

BOOST training is conducted at Service School Command, NTC, San Diego, California. The curriculum concentrates on mathematics; physical and social sciences; and the communication skills of reading, writing, listening, and speaking. Educational and personal counseling, development of study skills, and time management are also included in the program. The length of BOOST school instruction is normally 12 months. The basic eligibility requirements are as follows.

- Have U.S. citizenship
- Be at least 17 years of age (Maximum age requirements for BOOST students are contingent upon eligibility for at least one of the related officer procurement programs.)
- Be serving on active duty in the Navy or Naval Reserve and have 36 months of obligated service as of 1 June of the year in which BOOST training commences (If selected for NROTC or nominated for appointment to the Naval Academy, the member must agree to incur 4 years of obligated service on completion of BOOST.)

- Meet physical standards as prescribed in the *Manual of the Medical Department, U.S. Navy*
- Have no record of conviction by court-martial or by civil court for other than minor traffic violations
- Have no record of violations of article 15 of the *Uniform Code of Military Justice (UCMJ)* for 2 years preceding entry into BOOST school
- Be a high school graduate or possess a GED equivalency certificate (Selected applicants not meeting this requirement will satisfy the requirement during BOOST school based upon their military educational experience and GED test results.)
- Have achieved minimum test scores on the Scholastic Aptitude Test (SAT) or the American College Test (ACT) within 12 months preceding application deadline date (Article 1020360 of the *Naval Military Personnel Manual (MILPERSMAN)* contains minimum test scores.)
- Be recommended by the commanding officer

The *MILPERSMAN* contains additional information on the BOOST Program. OPNAV Notice 1500 announces eligibility requirements and application procedures yearly, normally around June or July.

### Direct Commission

Enlisted personnel who have a baccalaureate or higher degree from an accredited institution are eligible to apply for a direct commission through the U.S. Naval Reserve Officer Program. Generally the age limit is 30 years; however, some programs allow a maximum age of 36. Refer to OPNAVINST 1120.2A and *MILPERSMAN*, article 1020100, for more details; or contact an officer recruiter.

### DEPENDENT CARE POLICY

Dependents of active-duty, retired, or deceased military personnel are eligible for care under the Uniformed Services Health Benefits Program

Table 5-2.—Eligibility for USHBP

ELIGIBLE PERSON	UNIFORMED SERVICES FACILITIES	CHAMPUS		
		<u>Basic Program</u>		Handicapped Program
	Inpatient/Outpatient Benefits	Inpatient	Outpatient	
Spouse or Child of active-duty member	Yes, on a space-available basis	Yes - but may need non-availability statement	Yes	Yes
Retired member	Yes, on a space-available basis	Yes	Yes	No
Spouse or Child of retired or deceased member	Yes, on a space-available basis	Yes	Yes	No
Dependent parent or parent-in-law of active-duty or retired member	Yes, on a space-available basis	No		No

(USHBP) (table 5-2). Dependents can receive health care at military facilities on a space-available basis or can obtain care through the Civilian Health and Medical Program of the Uniformed Services (CHAMPUS).

## CHAMPUS

Through CHAMPUS the government shares the cost of medical care from civilian hospitals and doctors. Although CHAMPUS is an excellent health care plan, you need to know the following limitations on its coverage:

- Pays 80 percent of the allowable cost.
- Requires a deductible of \$150 per person or \$300 per family each year (1 Oct. to 30 Sep.).
- Pays for prescriptions filled by civilian pharmacies when the medication is not carried at a military hospital.
- Imposes a catastrophic cap of \$1,000 for active-duty personnel and \$10,000 per year for retired personnel.
- Pays for outpatient care in civilian hospitals; pays for in-patient care only if

a nonavailability statement is obtained from a military hospital before the patient is admitted

The *CHAMPUS Handbook*, available from your local military hospital, fully explains CHAMPUS benefits. Consult your local CHAMPUS representative if you have questions

## FINANCIAL COUNSELING

Your local command financial counselor, Family Service Center, and credit union provide financial counseling. Additionally, many military professional organizations provide financial counseling to members at no charge.

Financial counseling is one of your benefits. Use it if you need it or if you would just like to find a better way of handling your finances. Never provide financial counseling to your subordinates even if they request it. Refer them to one of the organizations just mentioned.

## ROLES DURING CAREER PROGRESSION

Your role and function as a chief petty officer will progress through three distinct phases

during your career. The three phases are chief, senior chief, and master chief petty officer. This section will examine the roles and functions of chief petty officers, senior chief petty officers, master chief petty officers, and command master chief petty officers.

## **CHIEF PETTY OFFICERS**

Chief petty officers are the technical authorities, experts, and supervisors within a rating. CPOs have the technical expertise to perform and supervise all tasks normal to their rating. CPOs provide the direct supervision, instruction, and training of lower rated personnel.

## **SENIOR CHIEF PETTY OFFICERS**

Senior chief petty officers are the senior technical supervisors within a rating or an occupational field. SCPOs have the primary responsibility for supervising and training enlisted personnel oriented to system and subsystem maintenance, repair, and operation, rather than individual unit work. Based on wide-ranging experience and specialized training, SCPOs provide the command with a higher level of technical and managerial expertise than is expected at the E-7 level.

## **MASTER CHIEF PETTY OFFICERS**

Master chief petty officers are the senior enlisted petty officers in the United States Navy. As such, MCPOs are vested with special command trust and confidence extending to administrative and managerial functions involving enlisted personnel. Based upon experience, proven performance, and technical knowledge necessary for advancement to the grade of MCPO, members of that rate within a command hold the senior enlisted positions. They help to form and execute policy within their occupational field or across the full Navy spectrum.

## **COMMAND MASTER CHIEF**

The title of command master chief does not reflect a paygrade higher than E-9. Instead the title identifies the MCPO who serves as the senior enlisted adviser in setting command policies about the morale, use, and training of all enlisted personnel. As such, the command master chief has direct access to the commanding officer. Additionally, the command master chief is

responsible for carrying out established command policy in specific areas as directed by the commanding officer and the executive officer. The command master chief takes precedence over all enlisted members within a command.

## **THE SELECTION PROCESS**

*Military Requirements for Petty Officer Third Class* provided you with a basic explanation of the Navy's advancement system, requirements for advancement, and advancement procedures.

The requirements and procedures for advancement to chief petty officer are essentially the same as for all other rates. However, to advance above petty officer first class, you have an additional hurdle—the CPO selection board.

When you are being considered for advancement to CPO, you receive credit for how much you have achieved in the areas of performance, knowledge, and seniority. Your final multiple score is generated from these three factors. If your final multiple score is high enough, you will be designated Pass Selection Board Eligible (PASS SELBD E JG). That means your name will be sent to the Chief Petty Officer Selection Board, a board charged with considering all eligible candidates for advancement to CPO. This board issues advancement authorizations for those being advanced to CPO.

## **COMPOSITION OF THE E-7 BOARD**

Each selection board consists of a captain who serves as president, a junior officer who serves as recorder, and officers and master chief petty officers who serve as board/panel members. Additionally, a sufficient number of assistant recorders (E-7s, E-8s, or E-9s) ensure the smooth handling and accounting of records. The exact size of the board varies, but each board usually consists of about 50 members. The recorder divides the board members into panels. Each panel is responsible for reviewing the records of candidates in one general professional area; that is, deck, construction, medical/dental, and so on. Each panel consists of at least one officer and one master chief.

The Chief of Naval Personnel (CNP) establishes a maximum quota for each rating and gives the number of selection possibilities to each panel. Each panel must fill the quota with the best qualified candidates competing for advancement, but must not exceed the quota. However, if a

board finds that not enough candidates are "best qualified," the panel may leave part of the quota unfilled.

Across the Navy, advancement depends on vacancies. That applies not only to E-7 and E-8/E-9 advancement, but to E-4 through E-6 advancement as well. Several significant factors are considered when quotas are established. Two of these factors are current inventory and the total projected losses and gains.

### **Current Inventory**

Current inventory is the current number of personnel on board versus the CNO requirements for a rating. Only a certain percentage of the Navy's total end strength may be chief petty officers in each rating.

### **Total Projected Losses and Gains**

Losses reflect the personnel who will be leaving the Navy during the advancement cycle; for example, those entering the LDO/CWO Program or those who are lost because of demotion or death. Gains reflect those who will enter a paygrade during the advancement cycle, such as those on voluntary recall to active duty and those remaining to be advanced from the previous advancement cycle.

### **EARLY SELECTEE QUOTAS**

The Department of Defense has established the total active federal military service (TAFMS) requirement. For example, the TAFMS requirement for E-7 is 11 years. However, the Department of Defense allows some candidates to advance early. An early advancement candidate is one who does not meet the TAFMS requirement.

The number of early selectee quotas available to the selection board is limited. No more than 10 percent of the total number of sailors in the E-7, E-8, and E-9 paygrades may have less than the prescribed TAFMS. The Chief of Naval Personnel closely monitors this requirement. The Chief of Naval Personnel informs the board of the percentage that can advance early without exceeding the quota set by the Department of Defense. The percentage is an overall board figure, not a quota for each.

The Navy places significant emphasis on professional performance at sea. A candidate need not be serving in a sea duty billet at the time of

evaluation to be considered for advancement; however, records should show the candidate has acted in a professional manner and has proven to be a good manager at sea or in isolated duty assignments. Persons who have had a variety of duty assignments, especially sea duty, are highly desirable candidates because of their broader professional experience. Those having less variety of duty assignments but demanding tours may be equally "best qualified." Navy members can be assured that assignments for extended periods to meet the needs of the Navy will not adversely affect their careers.

Candidates presented to the board compete within their individual ratings. However, the Navy recognizes that candidates are frequently detailed to duty outside of their rating specialties. Many such types of duty require selectivity in assignment and special qualifications. Therefore, special consideration is given to those candidates who have served in special assignments outside of their rating or who have experienced demanding tours of duty, such as instructor or recruiter.

Special consideration is also given to candidates who improve their educational level. Personnel may take part in either academic or vocational training and may participate of their own initiative during off-duty hours or in a Navy-sponsored program.

The transfers and receipts page of the service record and the job descriptions on the evaluations show a person's duty assignments and a history of the duties performed. Using this information, board members can tell whether or not persons are performing the required duties of their individual rates and are meeting professional growth expectancies.

Failure to meet the Navy's weight standards does not hinder selection opportunity. However, if a person is selected, advancement is withheld until current weight standards are met.

Advancement will not be denied solely on the basis of prior alcoholism or alcohol abuse if the member has taken part in successful treatment and recovery.

Some persons might have a record of disciplinary problems. They might have received letters of indebtedness or have been involved in other behavioral difficulties, such as drug abuse or racial, sexual, or religious discrimination. Those persons will find the path to chief petty officer more difficult than those with clear records. However, once they overcome these problems, the single most important selection factor is still sustained superior performance.

Test scores on the examination are also taken into account since they give the member's relative standing as compared to that of the other candidates. Therefore, be sure you **STUDY** for the examination.

The single most important factor influencing selection is sustained superior performance of duty. Sustained superior performance is a "total person" concept. The board looks at how the member performs under various circumstances, duty assignments, job assignments within the command, and so on. It also considers personal decorations, letters of commendation and appreciation, and command and community involvement. Performing well in all assignments is important regardless of how difficult or boring an assignment may be.

## **OTHER AREAS CONSIDERED IN THE SELECTION PROCESS**

The following outlines other areas the board considers in the selection process:

### **The Performance Evaluation**

#### **Objective Review:**

Overall marks for a specified period; for example, all service in current paygrade for a period of 5 years

Leadership/interpersonal relations traits

Disciplinary record

#### **Subjective Review:**

Marks too high or low?

How closely do marks and narrative agree?

How well did the candidate perform in and out of rating in special assignments?

If candidate had supervisory experience, how well did the person perform as a supervisor?

Number of people supervised and under what conditions.

Working in a position above, below, or in paygrade.

### **Career History**

Sea/shore duty mix. Any sea duty? When? If not, then overseas or isolated duty?

Leadership position ever held?

No opportunity yet to supervise. Is this compensated for by leadership in job or non-job related activities (chairman for Navy Relief, Combined Federal Campaign, and so on; office held in PTA, civic organization, church organizations, and so on)?

Special skills (SEAL, EOD, diver, recruiter, recruit company commander, human goals, NECs, and so on).

Special qualifications (officer of the deck, training PO/CPO, aircrew, surface warfare qualified, submarine qualified, and so on).

Special duty (Diego Garcia, Personnel Exchange Program, embassy duty, White House, major staff, and so on).

### **Potential**

Leadership/performance trend

Surfaces early?

Newcomer?

Latecomer?

Bounced back after problems resolved?

Personal initiative as demonstrated by the following:

Command/community involvement

Educational achievement (of any sort)

Personal awards, commendations, beneficial suggestions, awards from civilian community, and so on

### **SLATING**

Once scoring of each rating is completed, the panel arranges the names of all the candidates by their numerical score from the highest to the lowest. That is called slating. The panel then

decides what the cutoff score will be for non-promotable (those who do not warrant promotion even if the quota would allow it), promotable (those who warrant promotion), and selectees. Once slating is completed, the entire board is briefed on the structure of the rating, its job, its peculiarities, the number of candidates, and the background of those selected and not selected for promotion. The names of the candidates are not used during this briefing; the entire board votes on the slate. The slate must be accepted by a majority vote of the board. The slate is then turned over to the president of the board.

### **SUBSTANDARD RECORDS BEFORE THE BOARD**

During the course of the deliberations, the board may encounter records that clearly indicate substandard performance or, in the board's judgment, questionable advancement recommendations. In these cases, the board is directed to identify and list those candidates. This list includes the candidate's name, activity, reporting senior, and a concise summary of circumstances. Depending on the circumstances, either such candidates will be referred to the Quality Control Review Board or the commands of the candidates will be identified to senior echelon commanders for appropriate action.

### **NAVOP TO THE FLEET/REPORT TO CHIEF OF NAVAL PERSONNEL**

After all of the ratings have been completed and approved by the board, a NAVOP (message) is prepared to announce the selectees. Before release of the board's findings, the board president and all board members sign a written report of the findings and submit it to the Chief of Naval Personnel (CNP) for approval. The content of the report must certify that the board complied with all instructions and directions contained in the precept and that the board carefully considered the case of every candidate whose name was furnished for review. If CNP approves the NAVOP, it is then transmitted to the fleet.

### **WHAT YOU CAN DO TO IMPROVE YOUR CHANCES OF SELECTION**

Sailors who decide to make a career of the Navy and immediately start "turning to" can get

a head start with selection boards. Here are some things you can do to improve your chances before the board:

1. Remember that sustained superior performance is the single most important factor influencing your advancement opportunities.

2. Use your Enlisted Duty Preference Form wisely. You will be better off to request a demanding job assignment instead of just a geographic location you would like. Try to get into a supervisory position, or request a small duty station where your potential can be recognized early. Once your potential is documented, shoot for larger stations where the operating tempo is greater and where you will supervise a larger number of subordinates. Request sea duty and overseas shore duty assignments. Do your best in each job. Go that extra step for professional excellence.

3. Try to rotate following the pattern of your rating. If you are due duty outside of the United States (OUTUS), go overseas. If you are due sea duty, go. Don't try to avoid it. Going to sea and performing well will help your chances of promotion if your prior performance was outstanding. One outstanding evaluation at sea, however, will not get you promoted if your performance before going to sea duty was marginal.

4. Keep a personal record of your accomplishments throughout the evaluation period. When you are asked for input to your evaluation, submit a NAVPERS 1616/21 on which you summarize your activities for the year. Be sure your input addresses all the accomplishments you feel are significant, such as self-improvements, accomplishments, your supervisory ability, and your initiative. Make sure you submit factual input and provide details. That will decrease the chances of your omitting pertinent information when your input is translated into a smooth on the evaluation report. The purpose of the evaluation is to provide a comprehensive and objective analysis of you and your performance. Be sure your input to the smooth evaluation clearly depicts specific accomplishments.

5. The importance of the enlisted evaluation cannot be overstressed. From the beginning of the selection board process, the evaluation is as critical to the upward mobility of personnel to senior enlisted grades as is the fitness report to officer promotion. Ensure your evaluations are typed properly with no misspellings or other clerical errors. Remember that you are going to sign your evaluation; clerical errors, misspellings, and so on,

are as much your fault as your command's. Make sure your evaluation covers the correct period of time. Be sure to list all collateral duties, awards, education (both military and off-duty), special qualifications, outside activities, community involvements, and so on. Emphasize your abilities, potential, and willingness to accept positions of leadership and management. Do not write about how well the ship did on a deployment, an inspection E award, a unit commendation, and so on; but tell exactly what jobs you had and how well you performed them.

6. Very important! Get a copy of your Bureau of Naval Personnel (BUPERS) official microform service record, and ensure it is up to date and in proper order. Do that at least 6 months before the date the board is to convene and at least once during each enlistment. To request a FREE copy of your record, write to the following address:

Bureau of Naval Personnel  
Attn: PERS 313D  
Navy Department  
Washington, DC 20370

Refer to *MILPERSMAN*, article 5030150, for additional ordering instructions.

In your letter of request, include your full name, rate, social security number (SSN), and the address where you wish the record to be mailed. Be sure to sign your full name to the letter. You should receive the microform record in about 6 weeks. When it arrives, look it over carefully; make sure your SSN and name are correct on each microfiche page. Then review the contents of the record to make sure each service record page is yours.

## MICROFORM RECORDS

The microform record is broken down into three separate microfiche as follows:

<u>FICHE</u>	<u>ROW</u>
1E	PROFESSIONAL SERVICE HISTORY
A	Procurement
B	Classification and assignment
C-D	Administrative remarks
E-F	Separation and retirement
G	Miscellaneous

<u>FICHE</u>	<u>ROW</u>
2E	PERFORMANCE EVALUATION AND TRAINING DATA
A-C	Enlisted performance data
D	Training and education
E	Awards, medals, and commendations
F-G	Adverse information, nonjudicial punishment (NJP), courts-martial
3E	PERSONAL DATA
A	Record of emergency data/beneficiary slip
B	Record changes
C	Security clearances and investigations
D	Security miscellaneous
E	Medical data
F	Out-of-service inquiries/responses
G	Miscellaneous

If you have broken service, you may have a microfiche page 4E. This fiche contains documents received after your discharge. The documents do not appear in any particular order. Not all personnel with broken service have a page 4E fiche.

NOTE: The 3E and 4E microfiche are not routinely given to the selection boards but may be obtained if deemed necessary.

The following information is provided to help you put your record in order. Refer to *Document Submission Guidelines for Military Personnel Records System* (NMPINST 1070.1A) for specifics.

1. Enlisted microform records are normally updated at the end of each enlistment or reenlistment. At that time, your local command takes the old page 4s, 5s, 9s, 13s, and so on, from your paper record and forwards them to BUPERS for filming in the master record. Letters of commendation or appreciation are not in your master

microform record if they were issued after 1976. They should be mentioned in your evaluation.

2. Only E-5 and above evaluations are filmed in your official record. Make sure they are all there.
3. All personal decorations, unit commendations, and letters for Sailor of the Month/Quarter/Year should be in your record.
4. Remember that poor quality documents cannot be filmed. Copies should be legible and of standard size (not reduced) to ensure the best copy.

### **How To Update Your Record**

If you find errors or missing documents that qualify for inclusion in your record, you need to assemble a corrected package to send to BUPERS. If you are selection board eligible, you should submit a duplicate package to the board. Make sure each document is legible and your name and SSN appear on each. Outline any other errors found in your record on a letter of transmittal and mail to the following address:

Bureau of Naval Personnel  
Attn: PERS 313D, Room 3038  
Navy Department  
Washington, DC 20370

### **The Selection Board Package**

The selection board package should contain copies of any documents sent to update your microfiche record. It should also contain any others you feel are pertinent to the board's consideration, including page 4s, 9s, and so on, from your current enlistment and letters of commendation and appreciation. (NOTE: If you desire confirmation of receipt of your package by the selection board, make sure you enclose a second copy of your forwarding letter and a self-addressed stamped envelope.) Send this package to the following address:

President, FY - E-7 or E-8/E-9 (as applicable)  
Selection Board (Active)  
Bureau of Naval Personnel  
(Attn: PERS 262, Room 4631)  
Navy Department  
Washington, DC 20370

The Bureau of Naval Personnel recommends you mail your microfiche update and selection board packages separately and by certified mail.

Documents submitted to the board will be reviewed with your record and then discarded upon adjournment of the board. These documents are not forwarded to micromation for filming in your record.

### **PREPARING FOR THE EXAMINATION AND SELECTION BOARD**

Now is the time to start studying for the exam for CPO, even if you don't plan to take it for a year or so. Keep notes on the changes that occur in your rating until you are eligible for the exam; then get a bibliography and STUDY. Remember, your exam score does count. The E-7 paygrade is considered to be the senior "technical" rate in the Navy. No plans are afoot to eliminate the professional test that qualifies you as a selection board eligible candidate.

### **FLEET RESERVE AND RETIREMENT**

One of the major attractions of the military career has always been the military retirement package. Most members become eligible for retirement after 20 years of service, regardless of age, rate, or rank. Military rights and benefits provide not only an element of security, but also an opportunity to embark on a second career while still enjoying many benefits of the first.

In this section, we will discuss the Fleet Reserve and retirement. We will present the benefits you will receive upon retirement and tell you where to go for help or information.

Before making a decision to retire, you should talk with your career counselor about your retirement rights and benefits and how to apply for retirement or transfer to Fleet Reserve. You should also make every effort to attend a retirement seminar given at your command. You will be given useful information that may help you in making your decision.

Certain changes to the military retirement system have been proposed. To ensure your retirement rights and benefits information is up to date, contact your command career counselor.

### **CATEGORIES OF RETIREMENT**

There are different categories of retirement. This section will briefly describe the Fleet Reserve, the Regular Navy Retired List, the Naval Reserve

Retired List, the Retired Reserve, Temporary Disability Retired List, and the Permanent Disability Retired List.

### **Fleet Reserve**

The Fleet Reserve was established to provide experienced personnel in the first stages of mobilization during an emergency or in time of war. Therefore, the Fleet Reserve is made up of former enlisted members of the Regular Navy or Naval Reserve who can fill such billets without further training.

As an enlisted member of the Regular Navy and Naval Reserve, you are eligible for transfer to the Fleet Reserve upon the completion of at least 20 years of active service in the armed forces. While serving as a Member of the Fleet Reserve, you may be ordered to active duty without your consent. After you have completed 30 years of service (which includes active-duty and Fleet Reserve time combined), you will be transferred to the retired list.

### **Regular Navy Retired List**

Any enlisted member of the Regular Navy who has completed at least 30 years of active federal service may be retired upon application. Unlike transfer to the Fleet Reserve, the 30-year retirement is a right guaranteed by law. As a retired member, you may be ordered to active duty in time of war or national emergency at the discretion of the Secretary of the Navy. You may not be ordered to active duty under any other conditions without your consent.

### **Naval Reserve Retired List**

The Naval Reserve Retired List is composed of members of the Naval Reserve who are entitled to receive retired pay. Retired members of the Naval Reserve may be ordered to active duty without their consent. However, this may only be done if the Secretary of the Navy, with the approval of the Secretary of Defense, determines that the Navy does not have enough qualified reservists in an active status.

### **Retired Reserve**

The Retired Reserve consists of reservists who have been transferred to the Retired Reserve List without pay.

### **Temporary Disability Retired List**

The Temporary Disability Retired List consists of members who are temporarily unable to perform the duties of their rank or rating because of a permanent physical disability. See *Disability Separation*, NAVEDTRA 46601F, for more information.

### **Permanent Disability Retired List**

The Permanent Disability Retired List consists of members who are permanently unable to perform the duties of their rank or rating because of a physical disability. See *Disability Separation*, NAVEDTRA 46601F, for more information.

## **BENEFITS OF RETIREMENT**

Retirement benefits available at the conclusion of a Navy career are, in many respects, superior to similar plans in civilian life. On a day-to-day basis, the most important difference is that service members pay nothing toward the accumulation of their benefits.

Retired personnel and their dependents are entitled for life to many of the same medical and dental services provided their active-duty counterparts. However, these benefits have been severely curtailed during recent years. They also have the privilege of making purchases in commissaries, exchanges, and ship's service stores. Retired members have the privilege to use U.S. armed forces' base facilities subject to the availability of space and facilities, the capabilities of the command, and any overseas agreements.

Retired personnel often do not realize they may be entitled to many benefits from the Department of Veterans Affairs (VA) and from the state in which they reside. These benefits may include employment counseling, home and farm loans, unemployment compensation, burial rights, and VA benefits for veterans with disabilities.

### **Medical Care**

As a retired service member, you and your dependents remain eligible for the Uniformed Services Health Benefits Program (USHBP). This program provides medical care through uniformed services medical facilities on a space-available basis. That means if the facilities and their staffs are available after the treatment of active-duty members, they may provide care for retired service members and their dependents.

If space is not available or if a facility does not exist close to a retired member or a dependent, CHAMPUS provides for partial payment of civilian health care. Through CHAMPUS, uniformed services retired members and their families have one of the best health plans available anywhere. CHAMPUS shares most health care costs from civilian hospitals and doctors when a person can't get care through a military hospital or clinic. CHAMPUS covers most health care that is medically necessary.

You may want to consider purchasing a supplemental CHAMPUS insurance plan when you retire, if you do not already have one. Your coverage under CHAMPUS is slightly different from that you had while on active duty; you need to know those differences before using it. Once you retire, CHAMPUS coverage for you and your dependents is limited as follows:

- Pays up to 75 percent of the outpatient charges for you and your dependents, once a \$150 per person or \$300 per family deductible is met; pays up to 75 percent of inpatient (hospital) charges, with no deductible
- Does not cover all health care
- Pays only for medically necessary care and services provided at an appropriate level of care
- Does not cover certain people (active-duty service members, parents, parents-in-law, and persons eligible for Medicare)

### **Survivor Benefit Plan**

A program that assures financial protection for survivors of retired uniformed service members went into effect on September 21, 1972, as Public Law 92-425. This program, called the Survivor Benefit Plan (SBP), provides an annuity income for survivors of retired uniformed service members.

Until passage of this law, the retired pay of retired members of the uniformed services ended with their death, unless they had elected voluntarily to participate in the Retired Serviceman's Family Protection Plan. Therefore, surviving members of a retiree's family often found themselves with little or no income following the retiree's death. SBP fills that financial gap in the area of service benefits.

As a prospective retiree, your family is automatically covered under SBP at the time of your retirement. You may elect SBP coverage to guarantee you family receives 55 percent of your maximum retired pay to a minimum amount designated by law. You also have the option to decline any coverage under this plan. If you have no spouse or dependent child at retirement time, you can join the plan at that time by naming as beneficiary a person who has an insurable interest in you. You can begin participation later if you acquire a spouse or child after retiring.

If you elect not to participate in SBP or elect a lesser coverage, your spouse must sign a spousal concurrence statement.

Several SBP options are available to you. You may select only one of the following options:

- Spouse only or former spouse only—These two choices provide a monthly SBP check to your spouse or former spouse for life in the event of your death. If your spouse or former spouse remarries before age 55, the payments are suspended; but if that marriage ends, the SBP payments start again. Former spouse elections must be voluntary. If you agree to make former spouse election as part of a divorce agreement or court decree, then that election can be enforced and you must honor that election.
- Spouse and children or former spouse and children—In these two cases, your spouse or former spouse is the primary beneficiary; the children are paid an annuity only if your spouse or former spouse remarries before age 55 or dies
- Children only—Your children are covered until age 18, or age 22 if full-time students. Disabled children are paid for life if their disability causes them to be incapable of self-support. The disability must have been incurred when the child was under the age of 18 or before age 22 while attending school full time.
- Persons with insurable interest—You may elect SBP to cover a beneficiary who has a legitimate financial interest in your continued life. This beneficiary is normally a close family member, such as a parent or sibling. The beneficiary receives 55 percent of the retired pay remaining after the premium deduction is made.

Since the federal government pays a substantial part of the SBP cost, you give up only a small part of your retired pay to provide maximum coverage for dependents.

## **TRANSFER TO FLEET RESERVE**

A transfer to the Fleet Reserve requires that you complete 2 years at your duty station and submit the application no sooner than 6 months or later than 12 months before your requested transfer date. Send applications for Fleet Reserve to the Chief of Naval Personnel (PERS-273). Submit NAVPERS 1830/1 in quadruplicate and NAVPERS 1070/621 (Agreement to Extend) or NAVPERS 1070/622 (Agreement to Recall or Extend Active Duty) as appropriate. Refer to *MILPERSMAN*, article 3855180, for more detailed information.

## **TRANSFER TO FLEET RESERVE AND RELEASE FROM ACTIVE DUTY**

You will be transferred to Fleet Reserve on the last day of the month (date stated on NAVPERS 1830/2) only upon the authority of BUPERS except as follows:

- You are undergoing medical treatment not involving Physical Evaluation Board proceedings or appearance before a medical board requiring departmental action and you consent to remain on active duty.
- You request or are involved in a Physical Evaluation Board or appearance before a medical board requiring departmental action; you will be transferred only after final action is completed and instructions are received from BUPERS.
- You are awaiting disciplinary proceedings, serving a sentence of a court-martial, awaiting civil action, awaiting action on an administrative discharge, or awaiting a checkage of pay on date of transfer
- Your service is required because of urgent operational commitments; commanding officers may defer the transfer to Fleet Reserve for 30 days

*MILPERSMAN*, article 3855240, provides an in-depth explanation.

## **PHYSICAL FITNESS REGARDING FLEET RESERVISTS**

Fleet reservists must notify the Commanding Officer, Naval Reserve Personnel Center, New Orleans, of any significant change in their physical

fitness that would result in their transfer to a retired list. Reservists found unfit for duty are transferred from the Fleet Reserve to the retired list of the Regular Navy or Retired Reserve as appropriate. See *MILPERSMAN*, article 3855260, for more information.

## **PHYSICAL EXAMINATION IN CONNECTION WITH RETIREMENT**

You must have a physical examination 6 months before your retirement date to allow for the treatment of minor health problems or to identify health problems that would qualify you for a disability retirement. See *MILPERSMAN*, article 3860160, for more information.

## **MATERIALS AVAILABLE TO ASSIST MEMBERS SCHEDULED FOR FLEET RESERVE OR TRANSFER TO FLEET RESERVE**

Your command career counselor or Family Service Center should have available publications about retirement. Many commands conduct a mandatory retirement seminar that personnel must attend within 6 months of their retirement date (see OPNAVINST 1720.3D). The retirement seminar is an excellent source of information.

The following are some publications about retirement that you can get through the Navy supply system:

- *Disability Separation*, NAVEDTRA 46601F; national stock number (NSN): 0503-LP-212-6100
- *Once a Veteran*, NAVEDTRA 46602D, NSN: 0503-LP-211-8400
- *SBP Made Easy, The Survivor Benefit Plan*, NAVEDTRA 46605E; NSN: 0503-LP-003-0295
- *Navy Guide for Retired Personnel and Their Families*, NAVPERS 15891F; NSN: 0500-LP-345-1022

## **PRESEPARATION CEREMONY**

If desired, a person may request a pre-separation ceremony before transfer to the Fleet Reserve or the Retired List; however, participation in a formal ceremony is not mandatory. *MILPERSMAN*, article 3810200, lists items to be presented to a person transferring to the Fleet Reserve or the Retired List.

## COMPUTATION OF RETAINER PAY

Various methods are used to compute retainer pay. The method used depends on the date a person entered the Navy. Your local career counselor can help you compute your retainer pay. Direct questions about retainer pay to the Defense Finance Center, Retired Pay Division.

## TRAVEL OR RESIDENCE OUTSIDE OF THE UNITED STATES

Fleet reservists not on active duty must inform the Commanding Officer, Naval Reserve Personnel Center, of their plans to travel or reside outside of the United States for a period of 30 days or more. Fleet reservists who plan to travel or reside in a given country for 6 months or more must report their plans to the Naval Attache, Senior Naval Officer, or Senior Military Attache of the United States as appropriate. A change of permanent mailing address must be reported to Defense Finance and Accounting Service, Cleveland Center, Retired Pay Division, Cleveland. See *MILPERSMAN*, article 3855280, for more information.

## PLACE OF SEPARATION

*MILPERSMAN*, article 3640476, describes the requirements for a command to serve as the place of separation for persons transferring to the Fleet Reserve or retiring. Whether a command can serve as the place of separation depends on three conditions: (1) if the command can process for separation, (2) if the command is inside or outside of CONUS, and (3) if the person takes retirement or separation leave. Basically, persons transferring to the Fleet Reserve or retiring will receive reimbursement for expenses to move to the place where they entered the Navy or to their permanent home of choice.

## RETIREMENT LEAVE

Retirement leave is normally granted depending upon the needs of the Navy. If you desire retirement leave, submit a notification to BUPERS (PERS-27) at the same time you submit your request for transfer. That will ensure retirement orders are issued before your leave begins. Your commanding officer or reporting senior must grant approval of retirement leave.

You may sell back up to 60 days' leave during your career. Leave accrued before 1 September 1976 (saved leave) includes base pay, basic allowance for quarters (BAQ), and basic allowance for subsistence (BAS) when sold back. Leave accrued after 1 September 1976 includes base pay only when sold back. See *MILPERSMAN*, article 3860220, for more information.

## TRAINING

As a chief petty officer, one of your most important administrative duties will be to plan and direct training programs. The Navy suffers from a rapid turnover of personnel; therefore, if we are to have properly trained people, we must make training a continuing program.

You, as a chief petty officer, will be responsible for planning and directing personnel training and training junior officers within your division.

### TRAINING PLAN

You will need to develop a training plan if your command does not have one already. If a training plan is in place, you may only need to periodically update the plan to keep it current. Training plans can be divided into long-range and short-range plans.

The department head and training officer are responsible for the long-range training plan. Your role is to provide input to the department head through the division officer. The long-range training plan consists of general military training and unit level training. The training officer consolidates the training requirements for the unit and presents the plan to the executive officer for review. The long-range training plan is then presented to the commanding officer for approval.

The short-range plan is used to schedule training within your division. Pay careful attention to scheduling to avoid conflicts with other divisions. The short-range training plan should include the following documents:

- The Quarterly Employment Schedule
- The Quarterly Training Plan
- The Monthly Training Plan
- The Weekly Training Schedule

Refer to *Standard Organization and Regulations of the U.S. Navy*, OPNAVINST 3120.32B, for a detailed explanation of how to prepare the Quarterly and Monthly Training Plan and Weekly Schedule.

## **PLANNING AND DIRECTING TRAINING**

Before you begin planning, set a training goal. Then plan divisional training to meet that goal. Be sure to allow time for training in personnel qualification standards (PQS) and the planned maintenance system (PMS). Also allow time for general military training (GMT).

GMT is training of a general nature in areas such as financial responsibility, sex education, Family Service Center services, and Navy Relief. Your command's training officer should have a set of GMT lectures and the schedule for the command GMT. Conduct additional GMT when needed.

### **An Effective Training Program**

An effective training program has three basic features: (1) compatibility, (2) evaluation and instruction, and (3) analysis and improvement.

*Compatibility* means the training program must work within the command's framework and schedule. Make sure the type of training required will fit into the future schedule of your command.

*Instruction* involves the actual training of personnel. Make sure the instructors responsible for conducting the training or signing qualifications are knowledgeable and capable of clearly communicating the subject matter. Evaluation checks the progress of each person and the ability of division personnel to function together efficiently and safely as a team. Evaluate the instruction to be sure personnel are being properly trained.

*Analysis* consists of observing group and individual performance and comparing the results with standard criteria. Improvements consist of steps needed to make training more effective.

To develop an effective division training program, make sure it includes the following elements:

- **Dynamic instruction**—Provide instructors who give well-prepared and professional presentations. The instructor should give the impression of having a high degree of knowledge on the subject.

- **Positive leadership**—Show an interest in the training program. Make sure persons giving the lectures and signing qualifications can communicate well with others and have the practical skills needed.

- **Personal interest**—Set realistic training goals and monitor individual progress. Determine why a person is below standard and take remedial action as required to bring the person to the proper level of training. Acknowledge personal achievements with rewards, if appropriate, at divisional quarters.

- **Quality control**—Encourage the chain of command to become involved in the training process by testing individuals or having them demonstrate the knowledge level they are credited with having.

- **Technical support**—Make sure manuals, technical publications, operating procedures, safety precautions, and other references required for training are available and current.

- **Regular schedule**—Set aside a time every week for training, preferably on the same day and time.

### **Methods of Training**

Although you can use various methods to conduct training, you should use a method of training that meets your objective. When conducting formal, structured training, use standard lesson plans. You will find the following methods effective aboard ship:

- **On-the-job-training**—Use on-the-job training (OJT) as a personalized means of teaching and developing professional skills. Use it to teach personnel how to perform daily tasks such as those involved in making Planned Maintenance System (PMS) checks and meeting Personnel Qualification Standards (PQS). One of the benefits of OJT is that you can quickly measure results. Taking time to log the amount of time your subordinates spend on OJT provides a more accurate measure of division training.

- **Team Training**—Conduct team training in watch or battle station assignments through drills and exercises in port or under way. Take advantage of training offered by local fleet

training centers. Also, schedule team training through your command's planning board for training if appropriate.

**Self-study**—Encourage subordinates to obtain training through self-study. Self-study materials include correspondence courses, onboard training packages, and computer-guided instruction. Arrange for tutoring if necessary.

**Classroom**—Conduct classroom training when you need a controlled environment for formalized instruction. Use formalized lesson plans and be sure you have enough reference material for the students. Conducting classroom training aboard ship is difficult because of space restrictions, noise, and interruptions.

## TRAINING JUNIOR OFFICERS

Commanding officers are charged with the responsibility of training junior officers under their command by *U.S. Navy Regulations, 1990*, article 821, "Training and Education." Your responsibility is to ensure the junior officer is trained properly.

### Purpose

Your first question may be "If training junior officers is not part of my job description, then why should I?" The answer is to prepare the junior officer to fulfill the role of division officer, department head, executive officer, and commanding officer. How you treat and train junior officers has an impact on how they view both the chiefs' community and the enlisted ranks.

### Scope of Training

Your role is to train junior officers to make competent decisions in your professional area and to give them confidence in your expertise as the chief. Show your junior officers how to carry out duties in a professional manner; that is, by doing jobs the "NAVY" way. Be diplomatic in your approach, and preach doing things by "the book."

### Responsibility of the Chief

Your responsibility is to keep junior officers from making mistakes in judgment. You also

provide the foundation for them to develop into commanding officers you would enjoy working for as a chief. Teach junior officers how to be a division officer. Running the division while your junior officers work on qualifications is part of your job. Take time to explain the proper steps involved in specific tasks. Do not criticize the junior officers lack of knowledge. Any complaints you have with your junior officers could be your fault because you failed to teach them properly.

## SUMMARY

Since you will provide informal counseling to junior personnel on career information, take time to learn the various programs available. Checking the details of the program in question before giving an answer will save you embarrassment. The most effective counseling takes place in a formal setting. You can then check the qualifications of the person and review the programs he or she is interested in.

Chief petty officers progress through well-defined roles during their career. The chief is a technical expert. The senior chief becomes more involved in personnel management and is a systems expert. The master chief is primarily involved with personnel management on a ship-board level.

After 20 years of service, Regular Navy personnel become eligible for transfer to the Fleet Reserve. After a 30-year total of active and inactive service, they are placed on the retired list. Navy personnel are placed on one of six basic types of retired lists: Regular Navy Retired List, Naval Reserve Retired List, Retired Reserve, Fleet Reserve, Temporary Disability Retired List, and the Permanent Disability Retired List.

Training is an important part of every chief's job. The Navy has a high rate of turnover within commands. Commands must conduct training to be operationally ready at all times. As a chief petty officer, you will also train junior officers. Your objective is to provide the junior officer with the knowledge gained from your years of experience. The officers you train today will have an impact on the Navy's future as they progress in grade.

## REFERENCES

*Administration of the Navy's Apprenticeship Program*, OPNAVINST 1560.10, Office of the Chief of Naval Operations, Washington, D.C., 1990.

*Enlisted Commissioning Program*, OPNAVNOTE 1530, Office of the Chief of Naval Operations, Washington, D.C., 1990.

*Enlisted Transfer Manual*, NAVPERS 15909D, Naval Military Personnel Command, Washington, D.C., 1990.

*Family Service Center Program*, OPNAVINST 1754.1A, Office of the Chief of Naval Operations, Washington, D.C., 1985.

*In-Service Procurement for Appointment Under the Active and Inactive Limited Duty Officer and Chief Warrant Officer Programs*, NAVMILPERSCOMINST 1131.1A, Naval Military Personnel Command, Washington, D.C., 1986.

*Naval Military Personnel Manual*, NAVPERS 15560A, Naval Military Personnel Command, Washington, D.C., 1987.

*Navy Family OMBUDSMAN Program*, OPNAVINST 1750.1C, Office of the Chief of Naval Operations, Washington, D.C., 1990.

*Navy Sponsor Program*, OPNAVINST 1740.3, Office of the Chief of Naval Operations, Washington, D.C., 1982.

*Navy Voluntary Education Programs (Navy Campus)*, OPNAVINST 1560.9, Office of the Chief of Naval Operations, Washington, D.C., 1988.

*Overseas Duty Support Program*, OPNAVINST 5352.1, Office of the Chief of Naval Operations, Washington, D.C., 1985.

*Regulations Governing the Navy Enlisted Education Advancement Program (EEAP)*, OPNAVINST 1560.8A, Office of the Chief of Naval Operations, Washington, D.C., 1990.

*Responsibility for Morale, Welfare, and Recreation (MWR) in the Navy*, OPNAVINST 1700.7D, Office of the Chief of Naval Operations, Washington, D.C., 1988.

*Retention Team Manual*, NAVPERS 15878, Naval Military Personnel Command, Washington, D.C., n.d.

*Standard Organization and Regulations Manual of the U.S. Navy*, OPNAVINST 3120.32B, Office of the Chief of Naval Operations, Washington, D.C., 1986.

*U.S. Naval Reserve Officer Programs Open to Active Duty Naval Enlisted Personnel*, OPNAVINST 1120.2A, Office of the Chief of Naval Operations, Washington, D.C., 1987.

*U.S. Navy Regulations, 1990*, Office of the Secretary of the Navy, Washington, D.C., 1990.



# CHAPTER 6

## PROGRAMS AND POLICIES

### LEARNING OBJECTIVES

Upon completion of this chapter, you should be able to do the following:

1. Identify the Navy programs affecting the welfare and morale of Navy personnel and their families.
  2. State the function and purpose of the Navy's integrity and efficiency programs.
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The assistance programs covered in this chapter are important to the welfare of our sailors and their families. You, as the leading chief petty officer (LCPO), should have an understanding of these programs so that you can advise and support your division. Also included are the Navy's Pride and Professionalism Program, Personal Excellence Program, and the Integrity and Efficiency Program.

### ASSISTANCE PROGRAMS

Assistance programs included in this chapter provide Navy policy, guidance, and, in some cases, professional help in a variety of areas. This chapter provides information and references about the following programs

- Single Parenting
- Family Advocacy
- Family Service Centers
- Ombudsman Program
- Casualty Assistance
- Navy Welfare/Recreation/Afloat Recreation
- Personal Financial Planning
- Housing Entitlements

- Navy Sponsor Program
- Overseas Duty Support Program
- Additional assistance organizations

### SINGLE PARENTING

Many of our sailors today are single sponsors or military couples with dependents. These family situations cause these sailors to make plans that will ensure adequate dependent care while allowing them to travel worldwide. All single sponsors and military couples with dependents must have a formalized dependent care plan. The plan provides regular counseling for all single sponsors and military couples with dependents on the full scope of their responsibilities. Completion of the Dependent Care Certificate (OPNAV 1740/1) identifies designated custodians who will assume responsibility for the members' dependents in their absence.

Success of this policy depends upon positive command support. Coordination of sponsor, overseas screening, and family service programs is essential.

*U.S. Navy Single Sponsor/Military Couple with Dependent(s) Dependent Care Policy*, OPNAVINST 1740.4, outlines command and individual responsibilities. This instruction provides a dependent care counseling checklist. This checklist is useful in helping your personnel with their planning.

Consult with your command master chief and review related command, ship/station, and area instructions for additional guidance.

## **FAMILY ADVOCACY**

During the early 1970s, the Navy developed an increased awareness of child abuse and neglect. This prompted the Navy surgeon general to advocate a program that dealt with both the medical and social aspects of the problem. In 1976 the Navy set up the Child Advocacy Program within the Navy Medical Department to protect abused, neglected, or abandoned dependent children. In 1979 the Navy redesignated the program as the Family Advocacy Program. It expanded the program to include spouse abuse and neglect, sexual assault, and rape. Soon after, the Navy began to develop formal, service-wide Family Support Programs designed to improve the quality of life for the Navy family.

*Family Advocacy Program (FAP)*, OPNAVINST 1752.2, defines policy and outlines the key elements of the program.

Check local and area instructions about family advocacy for additional information. Another good idea is to visit your local medical treatment facility and base Family Service Center to discuss services they offer your people.

## **FAMILY SERVICE CENTERS**

Navy Family Service Centers (FSCs) are an organizational component within Navy shore activities and commands. Family Service Centers are responsible for the following:

- Providing comprehensive information programs and referral services for Navy families and single service members
- Providing Navy personnel and Navy families with opportunities to achieve a more satisfying quality of life in the Navy
- Ensuring continuing awareness of the importance of the relationship between Navy families and the Navy's ability to execute its mission
- Bringing about close coordination among existing Navy and civilian family support services
- Serving all eligible personnel and their families as set forth in SECNAVINST 1754.1

Family Service Center functions include the following:

- Information and referral
- Family assistance
- Family education
- Financial education counseling
- Deployment support
- Family advocacy
- Special needs family support
- Employment aid
- Relocation aid
- Overseas duty support
- Support for Command Sponsor Program
- Support for Command Ombudsman Program

A major function of the Family Service Centers (FSCs) is the prevention of problems and the enhancement of family life. FSCs offer informational, educational, and preventive programs on a continuing basis

*Family Service Center Program*, OPNAVINST 1754.1A, defines Navy policy and assignment responsibilities for the administration and support of the Navy Family Service Center Program

You should visit your local Family Service Center and set up points of contact. Also ask for the names and phone numbers of local civilian agencies that are available for help.

## **OMBUDSMAN PROGRAM**

The Ombudsman Program was first set up in the Navy in 1970. Since its start, it has undergone continual evolution to adapt to the changing needs of Navy commands and their families. The Ombudsman role has changed in its responsibilities for the morale and welfare of the families of the command by serving less in the role of grievance processing. It now serves more as an appropriate resource to help commands in discharging the commanding officer's (CO's) responsibilities in this area.

The Command Family Ombudsman Program belongs to the command. To a great extent, the shape and direction of the program depend on the commanding officer's perceptions of the needs of the command. The CO appoints the Ombudsman, who works under his/her guidance. The CO determines the priorities of the program, the roles and relationships of those involved in it, and the type and level of support it will receive. The effectiveness of the Ombudsman Program is measured by the service it provides to the command and the command's families.

The *Navy Family Ombudsman Manual*, NAVPERS 15571, provides a section containing suggestions on how to help maximize the benefits of an Ombudsman Program through your support of the Ombudsman. You only have to make one deployment to appreciate the efforts of an Ombudsman.

The *Navy Family Ombudsman Program*, OP-NAVINST 1750 1B, and the *Navy Family Ombudsman Manual*, NAVPERS 15571, outline the policies and procedures of the Navy Family Ombudsman Program

## **CASUALTY ASSISTANCE CALLS PROGRAM**

You may be asked to serve as the Casualty Assistance Calls Officer (CACO) at some point in your career. This section of the chapter will explain the purpose of the program and the general duties of the CACO

### **Purpose of the Program**

The broad purpose of the Casualty Assistance Calls Program (CACP) is to offer support to the next of kin of Navy members involved in a casualty. The CACP offers support in the following ways

- Assuring the next of kin of the Navy's interest in their well-being
- Showing concern for members reported missing while the search for them is underway
- Extending sympathy in the case of death
- Helping survivors adjust to the new conditions these tragic circumstances have imposed upon them

The Navy seeks to accomplish this through personal visits by a uniformed Navy representative called a Casualty Assistance Calls Officer (CACO). (Only an officer with a minimum of 2 years of active duty or a qualified senior enlisted member of paygrade E-7 or above may serve as a CACO.) Persons given the task of CACO normally assume this responsibility as their primary duty; it takes precedence over all other assigned duties. *Casualty Assistance Calls Program (CACP) Manual*, NAVMILPERSCOM-INST 1770.1, explains the detailed responsibilities of the CACO and the procedures for operating the program. *Casualty Assistance Calls and Funeral Honors Support (CAC/FHS) Program Coordination*, OPNAVINST 1770.1, contains the command coordination responsibilities for the Casualty Assistance Calls and Funeral Honors Support Program. The *Casualty Assistance Calls Officer Manual*, NAVPERS 15607, provides detailed duties of the CACO, provides a check list for use when visiting next of kin, and provides a list of helping resources.

### **Duties of the CACO**

The duties of the CACO range from making an initial personal visit to the family to helping the family fill out all required paper work for entitlements

Specific responsibilities include the following.

- to make personal notification to the next of kin that their relative is dead, unaccounted for—duty status—whereabouts unknown (DUSTWUN), or reported missing; to provide a brief explanation of the circumstances; to provide updated information regarding remains of deceased or search efforts for a DUSTWUN person
- to express to the next of kin of those who have died, the Navy's condolences, concern in the case of members in a DUSTWUN or missing status, and continued support for the next of kin during their adjustment to their unfortunate circumstances.
- to extend assistance to the next of kin by assessing the need for immediate financial assistance and follow-up arrangements as necessary.

### **NAVY WELFARE/RECREATION/ AFLOAT RECREATION**

Morale, welfare, and recreation programs (MWR) provide a comprehensive approach to the

improved quality of life of military personnel (active and retired), their families, and civilian personnel associated with the armed forces. DOD policy advocates a comprehensive MWR program for activities that accomplishes the following:

- Maintains a high level of esprit de corps
- Enhances job skills
- Contributes to military effectiveness
- Aids in recruitment and retention
- Aids in transition from civilian to military life
- Promotes and maintains physical, mental, and social well-being
- Encourages constructive use of off-duty leisure time
- Provides community support programs and activities for military families

*Responsibility for Morale, Welfare, and Recreation (MWR) Programs in the Navy*, OP-NAVINST 1700.7D, defines the responsibility for policy, overall coordination, and execution of Morale, Welfare, and Recreation (MWR) Programs within the Navy. *Administration of Recreation Programs Afloat*, NAVMILPERS-COMINST 1710.31, provides policy and guidance for the administration and management of afloat recreation services and funds.

Encourage your division personnel to take advantage of the many opportunities offered by these welfare and recreation programs. Develop ideas that encourage participation. Remember, a good idea is one that works for you. The problem isn't the program. The problem is lack of participation. So generate some enthusiasm. Be creative. Get those sailors out from in front of those televisions and involved in a sport or hobby.

## **NAVY PERSONAL FINANCIAL MANAGEMENT PROGRAM (PFM)**

Management of personal finances is becoming increasingly difficult for Navy members in today's complex and sophisticated marketplace. Easy credit, high-pressure sales tactics, clever advertising techniques, and other consumer gimmicks compete for our hard-earned resources. These factors, plus

a lack of basic consumer skills and resultant mismanagement of available income, all contribute to financial difficulties met by a growing number of Navy personnel. About 50 percent of all military members experience some level of financial difficulty at one or more times in their career. Financial problems force some sailors into bankruptcy. Financial problems have a serious negative effect on Navy members and their families. Since these problems also adversely affect unit morale, retention, and readiness, the Secretary of the Navy directed development of a program to address this issue.

The Navy's Personal Financial Management Education, Training, and Counseling Program is a comprehensive and integrated program. This program helps Navy personnel develop sound financial skills. It provides a cohesive, standardized, and proactive approach to helping members with financial concerns.

The program consists of three major elements: financial education, training, and counseling. The program introduces basic financial management principles at officer and enlisted accession points. These principles are reinforced and enhanced at the command or unit level. Each command has a trained command financial specialist (collateral duty) to coordinate the program and aid in providing financial information, training, and counseling to command members. Some Family Service Centers serve as training sites for the command financial specialists in partnership with Navy Relief. All Family Service Centers serve in a counseling and education role for members and their spouses.

The Navy and its members have a joint financial management responsibility. We expect sailors to pay their just financial debts. The Navy promotes financial practices and habits of thrift among its members. It also provides them the tools with which to develop these practices and habits. The Personal Financial Management Program is set up to meet the Navy's responsibilities.

## **HOUSING ENTITLEMENTS**

The Navy provides berthing for 130,000 single sailors at 179 shore/overseas shore locations at an annual cost of \$125 million. The Secretary of the Navy and the Chief of Naval Operations are dedicated to the modernization and new construction of single quarters to meet current and future housing requirements.

*Adequacy, Assignment, Utilization, and Occupancy of Navy Unaccompanied Personnel Housing (UPH)*, OPNAVINST 11103.1, outlines Navy policy on the adequacy, assignment, utilization, and occupancy of single quarters. Naval base/naval air station (local) instructions contain guidance for assigning voluntary separated personnel (VSP) to single quarters.

The principal goal of the Department of Defense (DOD) Family Housing Program is to make sure members of the armed forces with dependents have suitable housing. To achieve this, DOD has adopted a policy of relying on the local civilian housing market in communities near military installations as the primary source of housing for military families. Military family housing is constructed only in locations where the civilian housing market cannot meet the needs of the local military community. Construction is approved by the Secretary of Defense and appropriated by Congress.

*Assignment and Utilization of Navy-Managed Military Family Housing (MFH)*, OPNAVINST 11101.13H, outlines assignment procedures and utilization criteria for family housing. Your local family housing office can provide you with additional local rules and guidelines.

## **NAVY SPONSOR PROGRAM**

The Navy Sponsor Program was set up by the Chief of Naval Operations in 1970 to ease the move of naval personnel and their families when transferred on permanent change of station (PCS) orders. *Navy Sponsor Program*, OPNAVINST 1740.3A, provides guidance for all commands and units in taking an active part in the Navy Sponsor Program.

A well-administrated program can ease the difficulties met by naval personnel and their families during each PCS move. A dynamic command Navy Sponsor Program shows new members that the command believes they are important. It has a positive impact on the attitude of the new members and their families. Remember, first impressions are usually lasting ones.

## **OVERSEAS DUTY SUPPORT PROGRAM**

The Navy can better accomplish its mission and tasks by having forward deployed forces. Such forces support U.S. allies and provide the host nation with a capability to support its

political objectives. Through formal international agreement, deployed United States naval forces are provided facilities, logistics support, and mutual security. Navy personnel based overseas and those ashore on leave or liberty can either enhance or degrade the effectiveness of these arrangements by the image they create. Inadequate preparation and the inability of people to make a positive adjustment to the foreign country's laws, customs, cultures, and traditions can result in costly consequences. These consequences may affect unit readiness, unplanned reassignments, attrition, good order and discipline, future availability of ports of call, and retention of U.S. overseas bases.

The policy of the Navy is to ensure that each unit that visits foreign ports and each established overseas activity is supported in the host country. The Overseas Duty Support Program (ODSP) addresses three specific groups:

- Personnel stationed at overseas shore activities and home-ported units
- Personnel aboard ships (active and Reserve) and other deploying U.S. Navy units that visit foreign ports
- Personnel serving in high-impact positions (attache, embassy, PEP, and so on)

The ODSP helps Navy personnel and their families deal with various overseas cultures. Three major goals of this program are (1) to provide training and cross-cultural relations; (2) to supply information through publications, video tapes, and direct personal assistance, and (3) to operate a telephone hotline known as the Overseas Transfer Information Service (OTIS). The mission of the program is to help you be more effective in your job, to help you adjust to your tour of duty, and to help you enjoy visits to foreign ports.

You, the supervisor, should know where information about foreign countries and their customs and traditions can be obtained. You should encourage your personnel to read all available information about the foreign ports they are going to visit. In addition, give general lectures about these ports to point out local customs. Explain that most host nationals welcome the opportunity to learn from our sailors and are more than willing to teach our sailors about their countries. Above all, you should be informed and encourage your personnel to be informed.

The Navy has established the following goals to support the Navy's Overseas Duty Support Program:

- To increase command knowledge, readiness, and effectiveness in the ODSP by
  - optimizing ODSP support and working relations between Navy commands, host national officials, and logistic suppliers and
  - supporting protocol requirements between host national officials and Navy personnel.
- To improve individual and family experiences in the unique environment of the host country by
  - increasing the ability of individuals assigned to overseas activities to adapt quickly to the laws, customs, cultures, and traditions of a foreign country;
  - providing up-to-date prearrival information;
  - establishing a functioning sponsor program;
  - establishing physical and/or psychological support immediately upon arrival;
  - presenting predeparture and postarrival adaptation training for personnel and families;
  - increasing individual leave and liberty satisfaction;
  - providing active off-duty programs and events;
  - ensuring that foreign language training programs are used to the greatest extent possible.
- To develop and maintain positive relations between the Navy and the countries in which the Navy operates by
  - decreasing the possibilities for U.S. and/or host nation incidents;
  - preassignment screening and selection before issuance of orders;

- providing Navy personnel (and their families) with adequate information and training to avoid or deal with unfavorable situations;
- guaranteeing host nationals are treated with dignity and equality;
- ensuring that all Navy personnel are aware of the security and operational reasons for the Navy's overseas presence;
- ensuring that all Navy personnel and their families are aware of their responsibilities as representatives of the United States and the Navy;
- observing local customs (within the limits of operational requirements);
- initiating and maintaining liaison with host nationals personally, professionally, and diplomatically;
- assisting Navy personnel and their families in understanding local culture, customs, laws, and traditions; and
- establishing professional and social exchange programs.

The Overseas Transfer Information Service (OTIS) is a telephone hot line that provides Navy members and their families with a central source of information on nearly all overseas duty stations. OTIS gives advice and information on such topics as climate, location, passports, housing, educational services, shipment of automobiles, quarantine requirements for pets, dental facilities, and spouse employment. The hot-line number is AUTOVON 286-5932/5934, commercial (202) 746-5932/5934, or toll free 1-800-327-8197. OTIS will accept collect calls within CONUS. During nonworking hours, leave a message on the answering machine and you will receive a return call the next working day. You can also write to OTIS at the following address.

Chief of Naval Personnel (PERS 662D)  
Overseas Transfer Information Service  
Navy Department  
Washington, DC 20370

Before calling OTIS, you might find that many of your questions about an overseas duty

station may be answered by reading *Overseas Living Conditions; Information Concerning*, NAVMILPERSCOMINST 1720.1A. The instruction contains brief sheets on approximately 40 duty stations abroad. This instruction should be available through your local PSD or personnel office.

## ASSISTANCE ORGANIZATIONS

You can obtain additional assistance for service members and their families from the following groups:

- Chaplain Corps
- Navy Relief
- Red Cross
- USO
- YMCA/YWCA
- Wives Clubs

Visit the local offices of these organizations and discuss the services they provide for your personnel and their families. Then place notes in your division's files about these organizations and the services they provide. You can use the notes to conduct General Military Training (GMT) during morning quarters

## PRIDE AND PROFESSIONALISM

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Pride and professionalism have taken their rightful place in today's Navy. Gone is mediocrity, permissiveness is about to follow. Enter professionalism

—Admiral Thomas B. Hayward

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In 1980 Admiral Thomas B. Hayward, the 21st Chief of Naval Operations (CNO), initiated the Navy's pride and professionalism program. This program reemphasized and reenforced the traditions and values that have been a part of our Navy for over 200 years. Since this program is just as important today, you should develop those

traits of pride and professionalism described in the following paragraphs.

## LOYALTY

This is a true, faithful, strong devotion to your country, commitments, or obligations. In a Navy environment, it also includes devotion to your superiors and subordinates. While you may be willing, even eager, to extend loyalty within your organization, you must continuously strive to keep the loyalty of others. You can do this by showing loyalty to the command and your subordinates.

## DEVOTION TO DUTY

This is dedication to your job. You must at all times do your job to the best of your ability and place duty above self. Refusal to do so increases the burden of others.

## PROFESSIONAL KNOWLEDGE

At this point in your career, professional knowledge consists of more than just technical knowledge; it also consists of job know-how. You will increase this job know-how with experience and by being open-minded to new ideas and the suggestions of others.

## SELF-CONFIDENCE

This means you feel sure of your ability, judgment, power, and decisions. Professional knowledge is meaningless without the confidence to use it

## INITIATIVE AND INGENUITY

You need these qualities to help you develop your abilities to the fullest. Initiative is an introductory act leading to an action. Ingenuity is a skill or cleverness in devising or combining ways to get the job done. Opportunities for initiative and ingenuity often arise, but we fail to take advantage of them.

## COURAGE

This is the mental or moral strength that enables you to meet danger, stand up for your beliefs, be honest, and admit mistakes.

## THE ABILITY TO ORGANIZE AND MAKE DECISIONS

The ability to organize means you can plan and coordinate specific steps to complete simple or complex jobs. The ability to make decisions means you can identify possible obstacles or problems, establish priorities, and choose the best way to overcome these problems. A fear of failure does not interfere with your ability to organize and make decisions.

### PERSONAL EXAMPLE

This quality is an inherent part of leadership. It means you exhibit good behavior, a professional appearance, and outstanding performance as a role model for others. It will have a positive impact on your subordinates and the image of the CPO community.

### PERSONAL EXCELLENCE

The Personal Excellence Program was initiated by Admiral James D. Watkins, the 22d CNO, as a follow-on program to pride and professionalism. The emphasis of this program—Navy involvement in the civilian community—has become a positive and effective program. Through this program the Navy supports local Parent-Teacher Associations (PTAs), churches, charities, and youth activities. The program also includes the Navy's support of alcohol abuse, drug testing, physical fitness, and family advocacy programs. The involvement of naval personnel with these community programs helps to maintain the Navy's image of pride and professionalism.

### CORE VALUES

The latest addition to the pride and professionalism program was initiated by Admiral Carlisle A. H. Trost, the 23d CNO, to reinforce and strengthen existing programs. The objective of this program is for senior and junior naval personnel to serve as models of ethical behavior and personal values. Role models who reflect the Navy's core values set an example for all Navy personnel. They also serve as an image of the Navy's pride and professionalism to the local community and the nation. The following paragraphs describe the core values the Navy expects of its people.

### Integrity

Integrity is the soundness of moral character and ethical principles. You should recognize this as a fundamental part of being an effective leader and manager. As a chief petty officer, you will be expected to make moral and ethical decisions for which you will be held accountable. The basic elements of integrity are honesty, honor, and responsibility.

### Professionalism

Professionalism is the conduct, aim, or quality that marks a profession or professional person. As a chief petty officer who is recognized as a professional, you must ensure your people conduct themselves in a professional manner. The elements of professionalism are competence, teamwork, and loyalty.

### Tradition

Tradition is the handing down of beliefs and customs from generation to generation. As a member of the Navy, you have inherited a rich and proud tradition of patriotism, courage, spiritual heritage, and concern for people. As a chief petty officer, you have also inherited an obligation to your predecessors and successors to uphold this tradition.

### INTEGRITY AND EFFICIENCY PROGRAM

The policy of the Department of the Navy (DON) is to eliminate mismanagement of its resources. DON takes vigorous actions to detect, deter, and eliminate fraud, waste, and abuse, as well as the appearance of improper conduct in the Navy. DON also takes actions to prevent such occurrences in the future. All naval personnel, military and civilians, having knowledge of fraud, waste, and abuse are required by law to make a full disclosure of such activities to the proper authority.

*Mismanagement, disclosure, fraud, waste, and abuse* are terms that you should be familiar with in carrying out your responsibilities toward the Integrity and Efficiency Program. These terms are defined below:

- **Mismanagement**—To manage incompetently or dishonestly

Although the words “he,” “him,” and “his” are used sparingly in this manual to enhance communication, they are not intended to be gender driven nor to affront or discriminate against anyone reading this text.

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direct investigations into disclosures lodged against themselves or those that report directly to them. If more information is needed, a neutral party should carry out the investigation and make suggestions for correction.

The following are the chain-of-command steps for properly handling matters of fraud, waste, or mismanagement:

1. Discuss the issue with the person committing the alleged violation so that they will have the first opportunity of correction; if not resolved, then
2. report the facts to the employee's supervisor; if still not resolved, then
3. report the problem to the next higher supervisor.

### **THE HOT-LINE REPORTING SYSTEM**

When a disclosure indicates the issue involves a unit of the command and the commanding officer or key management officials are aware of the problem, the hot-line reporting system should be used.

Hot-line disclosures are screened by the NAVINSGEN and directed to the proper activity. This is usually the chain of command where the disclosure originated. The command is responsible to the NAVINSGEN for making a proper investigation and taking appropriate corrective action. The investigation and corrective action must be completed within 60 days, unless the NAVINSGEN allows more time. Confidentiality is also available when using the hot-line reporting system to report fraud, waste, abuse, and mismanagement. Give your name and be specific with dates, places, names, and facts. All disclosures, regardless of how major or minor, will be investigated. No lead is too small. The Navy wants you to help in its fight against fraud, waste, abuse, and mismanagement. In fact, incentive awards are given for information that saves the government money and/or its resources.

You should have proof to substantiate your report; however, the DON will investigate all disclosures. Some Navy commands have set up their own local hot-line system. All Navy personnel are encouraged to use the Navy hot-line program. Your official bulletin board should have the

hot-line information posted on it. You may contact hot line by either telephone or mail, as follows:

1. The phone numbers for DOD activity contact points are as follows:

1-800-424-9098 Toll Free  
(202) 693-5080 Commercial  
223-5080 Autovon

Or you can write to the following address:

DOD Hot Line  
The Pentagon  
Washington, DC 20301

2. The phone numbers for DON activity contact points are as follows:

1-800-522-3451 Toll Free  
(202) 433-6743 Commercial  
288-6743 Autovon

Or you can write to the following address:

The Naval Inspector General  
Attn: Navy Hot Line, Bldg 200  
Washington Navy Yard  
Washington, DC 20374

3. Check your official bulletin board or your local naval telephone directory for the numbers and addresses of your command hot line

Check your local Navy exchange, the local base newspaper, and your local naval telephone directory for other special hot lines for particular programs

### **THE NAVAL INVESTIGATIVE SERVICE REPORTING SYSTEM**

The Naval Investigative Service (NIS) is the criminal and investigative organization for the Department of the Navy. NIS primarily investigates major crimes and fraud committed against the government. Essentially, major crimes are those for which the maximum penalty required by law is more than 1 year's imprisonment or a loss valued at more than \$500.

The types of criminal misconduct that NIS investigates include the following:

- Theft of government property
- Embezzlement of government funds
- Making false official statements
- Bribery
- Submitting false travel claims
- Accepting kickbacks from contractors
- Accepting gratuities
- Misuse of public funds
- Fraudulent/illegal contracting procedures for personal gain
- Misuse of government equipment, materials, or personnel

NIS is listed under INVESTIGATIONS in your local naval base telephone directory.

### THE CONGRESSIONAL COMMUNICATIONS REPORTING SYSTEM

Naval personnel may communicate with a member of Congress on any subject, at any time, unless that communication violates a law or security regulation. Federal law allows any person of the armed forces to communicate with a congressman without going through official channels. No member of DON may interfere with, or deny, a person's right to communicate with a member of Congress; however, supervisors should advise their people of their access to the chain of command to resolve problems. Experience has shown that many situations can be rectified through the chain of command, thereby saving the time and cost involved in a congressional inquiry.

For military personnel, such as supervisors and/or managers, interference, before or after the fact, is chargeable under the *Uniform Code of Military Justice (UCMJ)*, article 92(a). While civilian personnel are not accountable under the *UCMJ*, they are subject to appropriate disciplinary or administrative action if they interfere.

The address and phone number where your congressman can be reached is as follows:

(Name of local congressman)  
The Capitol  
Washington, DC 20515  
Phone:  
(202) 224-3121 Commercial

### MORAL, WELFARE, AND RECREATION (MWR) DEPARTMENT AND THE NAVY RESALE SYSTEM

Sailors should work hard and play hard. Part of your job is to ensure the sailors get their money's worth during play. Your local MWR department is the place to begin looking for bargains in recreation, recreation equipment, and recreation facilities.

The Navy Resale System contributes funds for the MWR program. Tax-free items bought at the Exchange, Optical Shop, or other facility can provide significant savings over prices offered out in town.

The general types of services offered by the Navy resale system include the following:

- Retail merchandise sales outlets
- Name brand fast-food franchises and concessions; and over-the-counter food service including delicatessens, ice cream shops, snack bar and fast-food facilities, cafeterias, refreshment stands, beer bars, automatic snack bars, and mobile canteens
- Package liquor, wine, malt, and nonalcoholic beverage products
- Sales and rentals of video cassette tapes and video cassette recorders
- Taxi service, auto rental, truck rental, nonrecreational trailer rental, car carrier top rental, manned phone centers, mini-storage facilities, locker clubs, lodges, new U. S. auto sales in overseas locations, and other personal services
- General equipment rentals (see table 6-1)
- Vending machines
- Concessions or contract services not provided by Recreational Services
- Coin operated amusement machines not operated by Recreational Services
- Pay telephones

Table 6-1.—General Equipment Rental Items

<u>Hospitality Items</u>	<u>Hand Tools</u>	<u>Lawn and Garden</u>
Banquet table	Bar clamp	Weed cutter
Folding table	Crosscut saw	Tamp
Bathroom items	File	Pruning shears
Bedroom items	Crowbar	Wheelbarrow
Card table and chairs	Claw hammer	Tree trimmer
Chafing dish	Ball peen hammer	Tree and crosscut saw
Coffee maker	Pry bar	Lawn edger
Cot	Wood drill	Wedge
Electric frying pan	Hacksaw	Split maul
High chair	Hand planer	Weed cutter
Ice crusher	Tape measure	Fence post driver
Kitchen items	Level	Fertilizer spreader
Porta crib	Miter box and saw	Flower spade
Chair	Plumber's snake	Grass snips
Bowl set	Propane torch kit	Hedge trimmer (hand)
Rollaway bed	Socket set	Hedge trimmer (elec )
Round table	Droplight	Hoe
<u>Miscellaneous</u>	Square	Stepladder
Television	Level	Ladder
Snowblower	Wood chisel	Lawn roller
Santa Claus suit	Keyhole saw	Lawn mower
Roller massage	C-clamp	Pickax
Child restraint seat	Pipe wrench	Pitchfork spade
Electric heater	Tin shears	Post-hole digger
Polaroid camera	Tap and die set	Pruning saw
Instamatic camera		Rakes

Table 6-1.—General Equipment Rental Items—Continued

<u>Hospitality Items</u>	<u>Power Tools</u>	<u>Lawn and Garden</u>
GI can	Auto buffer	Rototiller
Hand truck	Belt sander	Shovel and spades
Metal detector	Electric drill	Sledge hammer
Movie projector	Electric planer	
Movie screen	Extension cord	
Slide projector	Hammer drill	
Refrigerator dolly	Hydraulic log splitter	
Electric fan	Jigsaw	
<u>Cleaning Equipment</u>	Sander vibrator	
Floor edger	Sawall	
Floor sander	Skill saw	
Floor buffer	Submersible pump	
Wet and dry vac	Router	
Upholstery head		
Rug shampooer		

The general types of services offered by recreational services include the following

- Bowling centers, golf courses, tennis complexes, and physical fitness complexes
- Food service operations in bowling centers, golf courses, child development centers, youth centers, and fitness or sports complexes
- Theaters and theater snack bars (less vending machines)
- Hobby shops including automotive hobby shops
- Sailing facilities, riding stables, golf driving ranges, boat marinas, fishing boats, skeet ranges, recreational camping areas, and other similar facilities
- Recreational equipment rental (see table 6-2)
- Social recreation centers including reading lounges, T.V. lounges, and game rooms
- Child development centers
- Travel services including tickets, tours, and reservations
- Carnivals, circuses, flea markets, and special entertainment events
- Vehicle storage
- Officer and enlisted clubs and messes

Table 6-2.—Recreational Services Equipment Rentals

Athletic/Recreation

Balls  
Bats  
Gloves  
Racquets  
Games  
Snow ski and water ski equipment  
Swim and snorkel gear  
Ice/roller skates  
Bicycles  
Toboggans  
Golf club sets  
Surfboards

Camping and Picnic

Overnight backpack equipment  
Camping trailers and tents  
Car luggage racks, trailer hitches, and safety accessories  
Camping gear (example: sleeping bags, cooking equipment, cots, lanterns, ice chests, propane/catalytic heaters, and fuel)  
Barbecue grills  
Portable gas grills

Fishing and Boating

Fishing boats, motors, and trailers  
Canoes and paddles  
Rafts and paddles  
Oars and locks  
Life jackets  
Boat anchors  
Fishing equipment  
Rod and reel sets  
Fish cleaning sets  
Tackle boxes  
Fishing guide books  
Bait

MWR facilities afloat vary with the size of the command. See your local recreational services officer for specific services offered at your command.

**SUMMARY**

Assistance programs provide Navy policy, guidance, and help in a variety of areas. Assistance programs are important to the welfare and morale of your subordinates and their families. You should have an understanding of assistance programs so you can advise and assist your division.

The Navy's Pride and Professionalism program and Core Values provide all naval personnel with ethical standards of conduct and guidelines to use in the conduct of their jobs. The Personal Excellence program stresses individual excellence in a variety of programs from community involvement to Drug and Alcohol Abuse prevention.

The Integrity and Efficiency program is designed to reduce mismanagement of Navy resources. All naval personnel, military and civilian having knowledge of fraud, waste, and abuse, are required by law to make full disclosure of such activities to the proper authority.

The Moral, Welfare, and Recreation department and the Navy Resale System combine to provide recreation and top quality merchandise to naval personnel at a reduced cost

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# **CHAPTER 7**

## **MILITARY REQUIREMENTS**

### **LEARNING OBJECTIVES**

Upon completion of this chapter, you should be able to do the following:

1. State how to assign personnel to the watch, quarter, and station bill.
2. Recognize the procedures to present personnel at inspections and how to conduct personnel inspections.
3. Identify the procedures for standing duty as the division duty officer and officer of the deck in port
4. State the purpose and function of the general mess advisory board and mess audit board.
5. Recognize how to mark, wear, and maintain CPO uniforms.

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The topics presented in this chapter should sound familiar to you. You have been required to know these items since you first entered boot camp. This chapter reviews specifics you may have forgotten and presents additional information required at the chief petty officer level. The topics in this chapter include the watch, quarter, and station bill, drill and formation; watch standing, the command general mess; and CPO uniforms.

### **WATCH, QUARTER, AND STATION BILL**

The watch, quarter, and station bill is a summary of assignments of the various ship's bills. Your division officer is responsible for making the watch, quarter, and station bill assignments within your division. However, we know chiefs train the division officer. You must be aware of the division officer's duties in order to train him or her.

### **CONSIDERATIONS IN ASSIGNING PERSONNEL**

The watch, quarter, and station bill (fig. 7-1) should be posted in a conspicuous place. All

division personnel must have a ready reference to make sure they report for their assigned duties when required.

It is important that you verify the personnel qualification standards (PQS) of each person in your division before making assignments to the watch, quarter, and station bill. Ideally, you want to assign the most qualified person to each billet.

You should begin making assignments by referencing your ship's personnel assignment bill. This will provide you with billet numbers for each person assigned to your division. Next fill in the rate; name; conditions I, II, III and so forth; abandon ship; and cleaning station columns. The other columns, such as special sea detail, fire, and landing force, are taken from the ship's bills. The senior watch officer will request that your division provide people to fill these details. After you have completed your division's watch, quarter, and station bill, provide each person in your division with a billet slip (fig. 7-2). The last step is to provide a copy of the watch, quarter, and station bill to the senior watch officer for approval and incorporation into the ship's master watch, quarter, and station bill.

EMPLOYEE		ALLOCATION		STATUS		DATE		SECTION		DIVISION		COMPT	
BILLET		NAME		RANK		CLEAN		STATION		STATION		STATION	
1101	JOE, J.A.	CPD	18	BN	BN	BN	BN	BN	BN	BN	BN	BN	BN
1102	FROG, J.R.	#1	1	BN	BN	BN	BN	BN	BN	BN	BN	BN	BN
1103	JOE, J.A.	2	2	BN	BN	BN	BN	BN	BN	BN	BN	BN	BN
1104	JOE, J.A.	6	6	BN	BN	BN	BN	BN	BN	BN	BN	BN	BN
1105	JOE, J.A.	9	9	BN	BN	BN	BN	BN	BN	BN	BN	BN	BN
1106	JOE, J.A.	4	4	BN	BN	BN	BN	BN	BN	BN	BN	BN	BN
1107	JOE, J.A.	8	8	BN	BN	BN	BN	BN	BN	BN	BN	BN	BN
1108	JOE, J.A.	7	7	BN	BN	BN	BN	BN	BN	BN	BN	BN	BN
1109	JOE, J.A.	11	11	BN	BN	BN	BN	BN	BN	BN	BN	BN	BN
1110	JOE, J.A.	13	13	BN	BN	BN	BN	BN	BN	BN	BN	BN	BN

Figure 7-1.—Watch, quarter, and station bill.

## PROCEDURES FOR CHANGE TO THE WATCH, QUARTER, AND STATION BILL

Frequent personnel turnover is a fact of life in the Navy. You should check your watch, quarter, and station bill every time someone transfers, goes on leave or temporary additional duty (TAD), and before each underway period. The reason for checking is to make sure qualified personnel from your division are assigned to meet the requirements placed on the division by the various ship's bills.

When a person transfers, the easy way to update the watch, quarter, and station bill would be to place the person's relief in the billet. That may be possible for a minor job assignment, but a more complicated job assignment may require a shifting of three or four people just to fill the vacancy caused by one person's transfer. The same type of problems can be encountered when a person is on leave or TAD. Make a temporary shift of personnel to cover the individual's absence.

Make all the necessary shifts required to fill a transferring person's billet with qualified

personnel. Make appropriate changes to your division's watch, quarter, and station bill and notify your division personnel of any change. Next, forward the changes to the ship's senior watch officer so he or she can update the ship master watch, quarter, and station bill.

## DRILL AND FORMATION

Since many of your division personnel may have just reported from boot camp, they may be more familiar with the basic drill and formation movements than you are. Therefore, this section reviews basic commands used in drill and formation. It also presents the basic procedures for presenting personnel and conducting inspection.

Many military functions, such as morning quarters and personnel inspections, require that you assemble in formation. The terms used to identify these formations may vary at different commands. For example, the term *squad* platoon at one command may be a *deta* division, or *class* at another. In this chapter, the term *squad* is used to represent a basic formation. Study the diagram in figure 7-3 as you review it.

U S S		
NAME		RATE
Division	Section	Billet No
Compt No.	Bunk No	Locker No.
Cleaning Station		
CONDITION I (GQ)		
CONDITION II		
CONDITION III		
Self Defense Force		
Special Sea Detail		
Watch Detail (At Sea)		
(Fold)		(Fold)
Watch Detail (In Port)		
Visit and Search, Boarding and Salvage		
Emergency Station (Abandon Ship)		
Emergency Getting Underway		
Fire (Sea)		
Fire (Port)		
Man Overboard		
Rescue and Assistance		
Collison		

Figure 7-2.—Billet ship.

following basic terms used to describe positions within a formation:

**ELEMENT:** An individual, squad, section, platoon, company, or other unit that is part of a larger unit.

**FORMATION:** An arrangement of elements in line, in column, or in any other prescribed manner.

**RANK or LINE:** A formation of elements or persons abreast or side by side.

**FILE or COLUMN:** A formation of elements or persons placed one behind the other.

**FLANK:** The extreme right or left of a unit, either in line or in column. The element on the extreme right or left of the rank. A direction at a right angle to the direction an element or a formation is facing.

**DISTANCE:** Within ranks, the space between the chest of one person and the back of the person ahead. Distance between ranks is 40 inches.

**INTERVAL:** Normally, one arm's length measured between individuals from shoulder to shoulder.

**GUIDE:** The individual on whom a formation or element regulates its alignment. The guide is usually positioned to the right.

**PACE:** The length of a full step (30 inches for men and 24 inches for women).

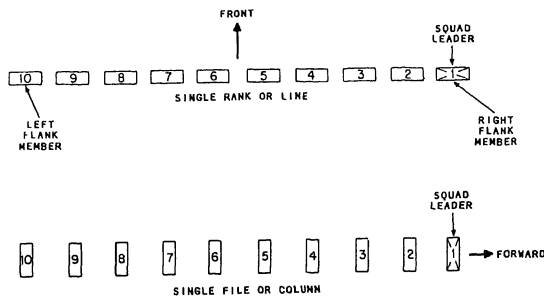


Figure 7-3.—Basic formation.

**STEP:** The distance from heel to heel between the feet of a marching person. The half step and back step are 15 inches. The right and left steps are 12 inches.

## **BASIC DRILL COMMANDS**

Remember that the members of any formation must respond in unison (together) to the commands given. Let's review the basic drill commands:

**ATTENTION:** The position of attention is the basic military position. It indicates you are alert and ready for instruction. On the command **ATTENTION**, stand with your heels together, feet forming an angle of 45 degrees, head and body erect, hips and shoulders level, and chest lifted. Allow your arms to hang naturally—thumbs along skirt or trouser seams and fingers joined and in their natural curl. Keep your legs straight, but not stiff at the knees. Direct your head and eyes to the front. Keep your mouth closed, and pull your chin in slightly. When called to attention, bring the heel of your left foot to the heel of your right foot.

**PARADE REST:** The commands **Parade, REST** are given only when the formation is at attention; the movement is executed in one count. On the command **REST**, move your left foot smartly 12 inches to the left. At the same time, join your hands behind your back with your right hand inside the left, holding the left thumb. Keep your fingers straight while resting your hands in the small of your back. Stand with both legs straight allowing your weight to rest equally on each foot. Do not move and do not talk. Direct your head and eyes as you would in the position of attention.

**AT EASE:** On the command **AT EASE**, you can relax and shift about, but keep your right foot in place. Do not talk. This command may also be given when you are not in ranks, as in a classroom. You must not talk, but you may remain relaxed.

**REST:** On the command **REST**, follow the same movement restrictions as you would when at ease, but you may talk.

**FALL OUT:** (This command is not a dismissal order.) Upon the command **FALL OUT**, leave your position in ranks but remain nearby. On the command **FALL IN**, resume your place in ranks, and come to attention.

To bring a formation to attention again when it is in any one of the four positions of rest, the person issuing commands gives a preparatory command (such as **Company**) before the command **ATTENTION**. If at rest or at ease, come to the position of parade rest on the preparatory command.

**RIGHT FACE:** Right face is a two-count movement started on the commands **Right, FACE**. On the command **FACE**: (1) Raise your left heel and right toe slightly and turn 90 degrees to the right. Keep your left leg straight but not stiff. (2) Bring your left heel smartly alongside the right heel and stand at attention.

**EYES RIGHT:** When given the commands **Eyes, RIGHT**, smartly turn your head 45 degrees to the right on the command **RIGHT**. The commands to turn your head back to the position of attention are **Ready, FRONT**. On the command **FRONT**, snap your head to the front. During reviews at which the reviewing officer troops (passes down) the line, **Ready, FRONT** is not given after **Eyes, RIGHT**. At such times, your head and eyes should follow the progress of the reviewing officer until you are looking straight ahead. Remain in that position as the officer continues down the line.

**ABOUT FACE:** About face is a two-count movement performed on the commands **About, FACE**. On the command **About**, shift your weight to your left leg without noticeable movement. On the command **FACE**: (1) place your right toe about 6 inches behind and slightly to the left of your left heel, (2) on the ball of the right foot and the heel of the left foot, turn smartly to the right until you are facing the rear. Your feet will be in the position of attention when the turn is completed if you place your right toe properly behind your left heel.

**FALL IN:** On the command **FALL IN**, the squad forms in line on the left of the right flank member (squad leader). Each member of the squad, except the left flank member, raises the left arm shoulder high in line with the body. Fingers are straight and touching each other, palm down. Each member, except the right flank member, turns the head and looks to the right. To obtain a normal interval, move in line so that your right shoulder touches the fingertips of the person to your right. As soon as you are in line with the person to your right and the person on

your left has obtained normal interval, return smartly and quickly to the position of attention.

**CLOSE INTERVAL:** Close interval is the horizontal distance between the shoulder and elbow when the left hand is placed on the left hip. The command At Close Interval requires the same movements as for normal interval. The only exception is that each member places the left hand on the beltline above the left hip with the elbow in line with the body. The heel of the hand rests on the hip with fingers straight, touching each other, and pointing down. The left flank member makes the adjustment without moving the arms.

**TO ALIGN THE SQUAD:** On the commands Dress Right, DRESS (normal interval) or At Close Interval Dress Right, DRESS (close interval), members of the squad align themselves with each other.

On the command DRESS, all members, except the right flank member, smartly turn their heads, look, and align themselves to the right. At the same time, all members, except the left flank member, smartly raise their left arm shoulder high (normal interval) or place their left hand on their hip (close interval). The right flank member stands fast and looks to the front. Using the right flank member as a guide and taking short steps, the other members align themselves and obtain the proper interval. Whether commanded to dress to the right or to the left, use only the left arm to obtain the interval, and hold that position until the next command is given.

When the alignment is correct, the commands Ready, FRONT are given. On FRONT, heads snap to the front and arms drop to the side.

**TO COVER OFF:** This command is given when the formation is in column or in two or more ranks. On the command COVER, the forward member or forward rank stands fast. You then move, left or right, to position yourself directly behind the person in front of you while maintaining a 40-inch distance.

**FROM NORMAL TO CLOSE INTERVAL:** The commands Close, MARCH tell members to move from normal interval to close interval while in line. On MARCH, all members, except the right flank member, pivot to the right on the ball of the right foot and step off on the left foot (one count). They march forward until they obtain an

approximate close interval, halt, and face to the left. They then form at close interval, as already described. All members lower their arms when the member on their left has obtained the proper interval.

**FROM CLOSE TO NORMAL INTERVAL:** The commands Extend, MARCH tell members to change from close interval to normal interval while in line. On MARCH, all members, except the right flank member, pivot to the left on the ball of the right foot and step off on the left foot (one count). They march forward until they obtain an approximate normal interval, halt, and face to the right. Then they form at normal interval. Each member drops the left arm when the member to the left has obtained the proper interval.

**DOUBLE-ARM INTERVAL:** The commands Take Interval To The Left, MARCH tell members at either close or normal interval to form a double-arm interval. At the command MARCH, members move as when extending ranks, except that each member raises both arms and touches the fingertips of the members on either side to obtain the double-arm interval. (The right flank member raises only the left arm, and the left flank member raises only the right arm.) Each member smartly lowers the right arm after obtaining proper interval to the right and lowers the left arm when the member on the left lowers the right arm.

**FROM DOUBLE-ARM TO NORMAL INTERVAL:** The commands Assemble To The Right, MARCH instruct members to obtain normal interval from double-arm interval. Execute this movement as you would in closing, but form at normal interval.

**TO COUNT OFF:** The commands Count, OFF instruct members to count off while in a rank or line. On the command OFF, all members, except the right flank member, smartly turn their heads and look to the right. The right flank member shouts ONE, the next member in rank or line shouts TWO, and so on, in quick cadence on down the line through the left flank member. As each member shouts the appropriate number, he or she turns the head smartly to the front.

Members in a file or column count off when given the commands From Front To Rear, Count, OFF. Each member, starting with the squad leader, turns the head to the right and

**STEP:** The distance from heel to heel between the feet of a marching person. The half step and back step are 15 inches. The right and left steps are 12 inches.

## **BASIC DRILL COMMANDS**

Remember that the members of any formation must respond in unison (together) to the commands given. Let's review the basic drill commands:

**ATTENTION:** The position of attention is the basic military position. It indicates you are alert and ready for instruction. On the command **ATTENTION**, stand with your heels together, feet forming an angle of 45 degrees, head and body erect, hips and shoulders level, and chest lifted. Allow your arms to hang naturally—thumbs along skirt or trouser seams and fingers joined and in their natural curl. Keep your legs straight, but not stiff at the knees. Direct your head and eyes to the front. Keep your mouth closed, and pull your chin in slightly. When called to attention, bring the heel of your left foot to the heel of your right foot.

**PARADE REST:** The commands **Parade, REST** are given only when the formation is at attention; the movement is executed in one count. On the command **REST**, move your left foot smartly 12 inches to the left. At the same time, join your hands behind your back with your right hand inside the left, holding the left thumb. Keep your fingers straight while resting your hands in the small of your back. Stand with both legs straight allowing your weight to rest equally on each foot. Do not move and do not talk. Direct your head and eyes as you would in the position of attention.

**AT EASE:** On the command **AT EASE**, you can relax and shift about, but keep your right foot in place. Do not talk. This command may also be given when you are not in ranks, as in a classroom. You must not talk, but you may remain relaxed.

**REST:** On the command **REST**, follow the same movement restrictions as you would when at ease, but you may talk.

**FALL OUT:** (This command is not a dismissal order.) Upon the command **FALL OUT**, leave your position in ranks but remain nearby. On the command **FALL IN**, resume your place in ranks, and come to attention.

To bring a formation to attention again when it is in any one of the four positions of rest, the person issuing commands gives a preparatory command (such as **Company**) before the command **ATTENTION**. If at rest or at ease, come to the position of parade rest on the preparatory command.

**RIGHT FACE:** Right face is a two-count movement started on the commands **Right, FACE**. On the command **FACE**: (1) Raise your left heel and right toe slightly and turn 90 degrees to the right. Keep your left leg straight but not stiff. (2) Bring your left heel smartly alongside the right heel and stand at attention.

**EYES RIGHT:** When given the commands **Eyes, RIGHT**, smartly turn your head 45 degrees to the right on the command **RIGHT**. The commands to turn your head back to the position of attention are **Ready, FRONT**. On the command **FRONT**, snap your head to the front. During reviews at which the reviewing officer troops (passes down) the line, **Ready, FRONT** is not given after **Eyes, RIGHT**. At such times, your head and eyes should follow the progress of the reviewing officer until you are looking straight ahead. Remain in that position as the officer continues down the line.

**ABOUT FACE:** About face is a two-count movement performed on the commands **About, FACE**. On the command **About**, shift your weight to your left leg without noticeable movement. On the command **FACE**, (1) place your right toe about 6 inches behind and slightly to the left of your left heel, (2) on the ball of the right foot and the heel of the left foot, turn smartly to the right until you are facing the rear. Your feet will be in the position of attention when the turn is completed if you place your right toe properly behind your left heel.

**FALL IN** On the command **FALL IN**, the squad forms in line on the left of the right flank member (squad leader). Each member of the squad, except the left flank member, raises the left arm shoulder high in line with the body. Fingers are straight and touching each other, palm down. Each member, except the right flank member, turns the head and looks to the right. To obtain a normal interval, move in line so that your right shoulder touches the fingertips of the person to your right. As soon as you are in line with the person to your right and the person on

your left has obtained normal interval, return smartly and quickly to the position of attention.

**CLOSE INTERVAL:** Close interval is the horizontal distance between the shoulder and elbow when the left hand is placed on the left hip. The command At Close Interval requires the same movements as for normal interval. The only exception is that each member places the left hand on the beltline above the left hip with the elbow in line with the body. The heel of the hand rests on the hip with fingers straight, touching each other, and pointing down. The left flank member makes the adjustment without moving the arms.

**TO ALIGN THE SQUAD:** On the commands Dress Right, DRESS (normal interval) or At Close Interval Dress Right, DRESS (close interval), members of the squad align themselves with each other.

On the command DRESS, all members, except the right flank member, smartly turn their heads, look, and align themselves to the right. At the same time, all members, except the left flank member, smartly raise their left arm shoulder high (normal interval) or place their left hand on their hip (close interval). The right flank member stands fast and looks to the front. Using the right flank member as a guide and taking short steps, the other members align themselves and obtain the proper interval. Whether commanded to dress to the right or to the left, use only the left arm to obtain the interval, and hold that position until the next command is given.

When the alignment is correct, the commands Ready, FRONT are given. On FRONT, heads snap to the front and arms drop to the side.

**TO COVER OFF** This command is given when the formation is in column or in two or more ranks. On the command COVER, the forward member or forward rank stands fast. You then move, left or right, to position yourself directly behind the person in front of you while maintaining a 40-inch distance.

**FROM NORMAL TO CLOSE INTERVAL:** The commands Close, MARCH tell members to move from normal interval to close interval while in line. On MARCH, all members, except the right flank member, pivot to the right on the ball of the right foot and step off on the left foot (one count). They march forward until they obtain an

approximate close interval, halt, and face to the left. They then form at close interval, as already described. All members lower their arms when the member on their left has obtained the proper interval.

**FROM CLOSE TO NORMAL INTERVAL:** The commands Extend, MARCH tell members to change from close interval to normal interval while in line. On MARCH, all members, except the right flank member, pivot to the left on the ball of the right foot and step off on the left foot (one count). They march forward until they obtain an approximate normal interval, halt, and face to the right. Then they form at normal interval. Each member drops the left arm when the member to the left has obtained the proper interval.

**DOUBLE-ARM INTERVAL:** The commands Take Interval To The Left, MARCH tell members at either close or normal interval to form a double-arm interval. At the command MARCH, members move as when extending ranks, except that each member raises both arms and touches the fingertips of the members on either side to obtain the double-arm interval. (The right flank member raises only the left arm, and the left flank member raises only the right arm.) Each member smartly lowers the right arm after obtaining proper interval to the right and lowers the left arm when the member on the left lowers the right arm.

**FROM DOUBLE-ARM TO NORMAL INTERVAL:** The commands Assemble To The Right, MARCH instruct members to obtain normal interval from double-arm interval. Execute this movement as you would in closing, but form at normal interval.

**TO COUNT OFF** The commands Count, OFF instruct members to count off while in a rank or line. On the command OFF, all members, except the right flank member, smartly turn their heads and look to the right. The right flank member shouts ONE, the next member in rank or line shouts TWO, and so on, in quick cadence on down the line through the left flank member. As each member shouts the appropriate number, he or she turns the head smartly to the front.

Members in a file or column count off when given the commands From Front To Rear, Count, OFF. Each member, starting with the squad leader, turns the head to the right and

shouts the appropriate number while turning the head back to the front.

**TO OPEN RANKS:** The commands Open Ranks, MARCH are given when more distance between ranks is required; for example, for a personnel inspection. On the command MARCH, the front rank takes two paces forward, the second rank takes one pace (30 inches) forward, and the third rank stands fast. Each succeeding rank takes two, four, or six (15-inch) steps backward. Each rank automatically dresses right as soon as it halts. When the alignment is completed, the commands Ready, FRONT are given.

**TO CLOSE RANKS:** The commands Close Ranks, MARCH tell members to close ranks. On the command MARCH, the front rank stands fast, the second rank takes one pace forward, the third rank takes two paces forward, the fourth rank takes three paces forward, and so on. You will halt and cover without command.

**HAND SALUTE:** Begin a salute on the commands Hand, SALUTE, and complete the salute on the command TWO. On the command SALUTE, raise your right hand smartly. At the command TWO, return to attention by moving your hand smartly in the most direct manner back to its normal position at your side. (If you are in formation, the preparatory command Ready will be given before the command of execution, TWO.)

**UNCOVER:** Many religious ceremonies, and usually inspections, require you to remove your hat when given the commands Uncover, TWO. On the command Uncover, raise your right hand as in the hand salute, but grasp the brim of your hat with your fingers instead of touching your forehead. Hold this position until the command TWO is given (you may lift your hat slightly so as not to muss your hair); then return your hand and your hat to your side in the most direct manner, but do not remove it with an exaggerated or sweeping motion. On the command Cover, grasp your hat with both hands and place it squarely on your head. Drop your left hand holding the hat brim. On the command TWO, drop your right hand to your side.

**DISMISSED:** The single command DISMISSED is used to secure an individual or an entire formation.

## PRESENTING PERSONNEL

You should now feel secure in issuing the basic drill commands to your division; you are ready to present the division at an inspection, quarters, or a ceremonial event. Additional information on drill can be found in *Drill and Ceremonies Manual and Interior Guard Manual*, SECNAVINST 5060.22.

### Inspections

Your division should fall into a formation of two or four ranks. The ranks should be formed according to height with the tallest personnel on the end of the formation from which the inspecting party will arrive. Usually, the tallest person will be on your left as you face the formation. Have the division open ranks and stand at parade rest while awaiting the inspecting party to arrive. You or the division officer should fall in so that the inspecting party will approach from the right. Call the division to attention when the inspecting party approaches. When the inspecting party is approximately six paces from you, order "HAND SALUTE." Greet the inspecting officer with "Good Morning (Afternoon) Commander (Captain, Commodore, Admiral)." The inspecting officer will then return your salute, you should now order "TWO."

You should now address the inspecting officer as follows: "\_\_\_\_\_ division, ready for your inspection, sir/ma'am \_\_\_\_\_ personnel, no authorized absentees (or the number of authorized absentees)." You should be prepared to give the inspecting officer an exact breakdown of your personnel, if requested.

As your division is being inspected, you should fall in just behind the inspecting officer, on the side away from the rank being inspected.

Some inspecting officers may request the division to be uncovered. At the request give the commands "About Face," "Uncover," and "Two." At the completion of the inspection, give the commands to "Cover," "Two," "About Face," and "Close Ranks."

You should then place your division at "Parade Rest" until the inspecting party has finished inspecting the next division, you may then place the division "at ease." Unless given orders otherwise, your division should remain at "Division Parade" until the entire inspection has been completed.

## Quarters

Quarters is a little more informal than an inspection. You still need to have the division fall in to ranks of two or four. When the division officer approaches, have the division come to "Attention." Salute the division officer and greet him or her with "Good morning sir/ma'am." The division officer will then return your salute. You will then inform the division officer of the disposition of the division, and he or she will sign the muster report. The division officer will then pass on any word received at officer's call. At this time, if he or she desires to inspect the division, you should call the division to "Attention." Give the command to "Open Ranks," then "Uncover," and "Two" (if required). You should follow the division officer during the inspection and record any deficiencies he or she may notice. At the conclusion of the inspection, give the commands "Cover," "Two," and "Close Ranks." If the division officer desires, he or she may go over the discrepancies. At the conclusion of quarters give the command "Dismissed."

## Ceremonies

Covering every type of ceremonial presentation you may make is outside the scope of this text. You can, however, review the specific ceremony in *Drill and Ceremonies Manual and Interior Guard Manual*, SECNAVINST 5060 22. There are a few general guidelines you can follow. Your division should fall in to formation just as they are to be inspected. Your department head will generally be out in front of the formation and require a report. The department head will call the department to Attention and say "division officer's report." At the appropriate time you should salute and reply with "\_\_\_\_ division, no authorized absences (or the number of absences)." The department head will return your salute. The department head will also place the department "At Ease," "Parade Rest," or "Attention" at the appropriate times.

At ceremonial events the national anthem is usually played. You will place the division at "Attention" (if not already at "Attention") and salute the flag on the first note of the anthem.

## WATCH STANDING

Your watch standing responsibilities will increase upon advancement to chief petty officer.

You will be responsible for the overall operation of your division or department. This section describes the additional responsibilities you will have when standing divisional duty officer and officer of the deck (in port).

## DIVISIONAL DUTY OFFICER

The divisional duty officer is responsible for representing the division officer and the function of the division during the division officer's absence.

Basic duties and responsibilities include the following:

- Fulfilling the function of division officer during his or her absence
- Frequently inspecting divisional spaces to ensure physical security and good order and discipline
- Making eight o'clock reports to the department head
- Performing other duties as required by your division and command

## OFFICER OF THE DECK IN PORT

The officer of the deck (OOD) in port is an officer or petty officer who has been designated by the commanding officer to be in charge of the command. When standing OOD, you can be relieved by the command duty officer (CDO) if he or she deems it necessary for the safety of the command. The chain of command is twofold. First, the OOD reports directly to the commanding officer for the safety and general duties of the command. Second, the OOD reports to the CDO for carrying out the ship's routine. The following personnel report directly to the OOD:

- The junior officer of the watch for training and assigned duties
- The communications watch officer for transmission and receipt of operational and general messages
- The quartermaster of the watch for assigned duties
- The boat coxswains or boat officer for the safe and proper operation of ship's boats

- The officer or petty officer assigned to the gangway watch for the maintenance of a properly posted and alert watch on the crew's brow or accommodation ladder
- The petty officer of the watch for supervising the quarterdeck watch, anchor watch, fog lookouts, brow and dock sentries, and security watches and patrols under the control of the OOD
- The duty master-at-arms for maintenance of good order and discipline and security and processing of prisoners
- The sergeant of the guard for direction of the guard in performing their duties, if a Marine Detachment is assigned

The duties, responsibilities, and authority of the OOD are clearly defined in the *Standard Organization and Regulations of the U.S. Navy (SORN)*, OPNAVINST 3120.32B. You should periodically review the duties, responsibilities, and authority of the OOD to make sure they have not changed. The following list of OOD duties, responsibilities, and authority is an excerpt from article 441.3, Officer of the Deck (In Port):

(1) Keep continually informed of the unit's position, mooring lines or ground tackle in use, tide and weather information, the status of the engineering plant, the status of the unit's boats, and all other matters affecting the safety and security of the unit; and take appropriate action to prevent grounding, collision, dragging or other danger in accordance with the U.S. Coast Guard Navigation Rules of the Road and the orders of the commanding officer and other proper authority.

(2) Ensure that required reports to the OOD (in-port) concerning tests and inspections and the routine reports of patrols, watches, and sentries are promptly originated and that the quarterdeck watch, lookouts, anchor watch, and other sentries or patrols are properly posted and alert.

(3) Ensure all required entries are made in the deck log, and sign the log at the conclusion of the watch.

(4) Carry out the routine as published in the plan of the day, ensuring the executive officer, CDO (in-port), and department heads are informed of circumstances which require changes in routine or other action on their part.

(5) Initiate and supervise unit's evolutions or operations as necessary.

(6) Attend one of the unit's gangways, and supervise watch personnel assigned to attend other gangways.

(7) Supervise the operation of the unit's boats in accordance with the boat schedule published by the executive officer and the orders of the commanding officer and other proper authority.

(8) Ensure that all boats are operated safely and all boat safety regulations are observed. Give particular attention to changes in wind or sea conditions and notify the CDO (in-port) when the suspension of boating is advisable. Ensure that boats are not overloaded, and reduce the allowed loading capacity when weather conditions require caution. Recommend use of boat officers to the CDO when weather or other conditions warrant. Require boat passengers to wear life jackets when conditions are hazardous; ensure that all boats assigned trips are fully equipped, manned, fueled, and in working order; provide harbor charts to boat coxswains; give boat coxswains trip orders and orders to shove off.

(9) Supervise the general announcing system, the general and chemical alarms, and the whistle, gong, and bell in accordance with the orders of the commanding officer and U.S. Coast Guard Navigation Rules of the Road.

(10) Permit no person to go aloft on mast or stacks or to work over the side of the ship except when wind and sea conditions permit, and then only when all safety precautions are observed

(11) Display required absentee pennants, colors, and general information signals, and supervise the rendering of honors

(12) Make all required reports to the CDO (in-port), executive officer, and commanding officer as directed by standing orders to the OOD.

(13) Supervise and conduct on-the-job training for the JOOW, the JOOD, and enlisted personnel of the quarterdeck watch.

(14) Assume other responsibilities as the commanding officer may assign.

(15) Supervise striking of the ship's bell to denote the hours and half-hours from reveille to taps, requesting permission of the commanding officer to strike eight bells at 0800, 1200, and 2000.

## **COMMAND GENERAL MESS ADVISORY**

As the leading chief petty officer in your division, you may need to represent your division on the general mess advisory board or explain its function to your division representative. Additionally, as a chief petty officer, you may also be detailed to serve as a member on the mess audit board.

This section reviews both the command general mess advisory board and the mess audit board to assist you in fulfilling your responsibilities as a chief.

### **GENERAL MESS ADVISORY BOARD**

The command general mess advisory board solicits recommendations from the command's enlisted personnel regarding operation of the mess. The board considers suggestions, comments, and any other matters relating to the operation of the mess. In general, the objective is to improve the operation of the mess.

The board consists of one enlisted representative from each department or division ensuring adequate representation of the crew's enlisted personnel. The board is chaired by the food services officer. Additional board members may be assigned at the discretion of the commanding officer.

### **MESS AUDIT BOARD**

The mess audit board is responsible for auditing the mess treasurer's account in the chief petty officer's mess and the wardroom mess. Audit board members cannot be connected with management of the mess they audit. The audit board is composed of at least three members. The senior member is an officer and should be senior to the custodian of the mess funds. The other members may be commissioned officers, warrant officers, chief petty officers, or qualified petty officers.

The audits are conducted monthly. The audit report is then forwarded to the commanding officer via the executive officer before the 10th day of the following month.

The audit board is governed by *U.S. Navy Regulations, 1990*, while auditing the books of accounts and records of the mess. Guidance relative to performance audits of local messes are provided in NAVAUDSVICINST 7540.6 (NOTAL), Audit Program No. 39, Local Audits of Messes Afloat.

## **CPO UNIFORMS**

The styles of the CPO uniform have changed since the founding days of the U.S. Navy. However, the caliber of the people who wear the uniform and the pride and professionalism they display have not changed.

You undergo one of the most significant changes of your naval career the day you put on the *hat*. Just as your responsibilities change, your uniform and accessories also change.

This section describes the uniforms and accessories you will wear on different occasions. It also tells you how to maintain your uniforms so that they reflect your pride and professionalism in the Navy.

Before actually being advanced or frocked, you will attend the Chief Petty Officer Indoctrination Course. This course will provide you with an in-depth, up-to-date, and hands-on introduction to your new uniform requirements.

## **THE HISTORY OF THE CHIEF PETTY OFFICER**

When was the term *chief petty officer* first used? Where did our uniform styles originate? These questions have generated many discussions in CPO messes over the years.

According to naval records, the first mention of the chief petty officer was on a ship's muster roll in 1775. This brief mention of the CPO title did not resurface in naval history for almost 100 years.

The history and design of our uniform date back to the 18th-century Continental Navy of 1776. With the colonization of the new world, a need for a navy became apparent. Many of the people that settled our nation learned their seafaring skills in England. These sailors brought not only their seafaring skills, but also their customs, traditions, and uniform similarities to this country. Many of our uniform styles can be traced to the British Royal Navy. As you can see

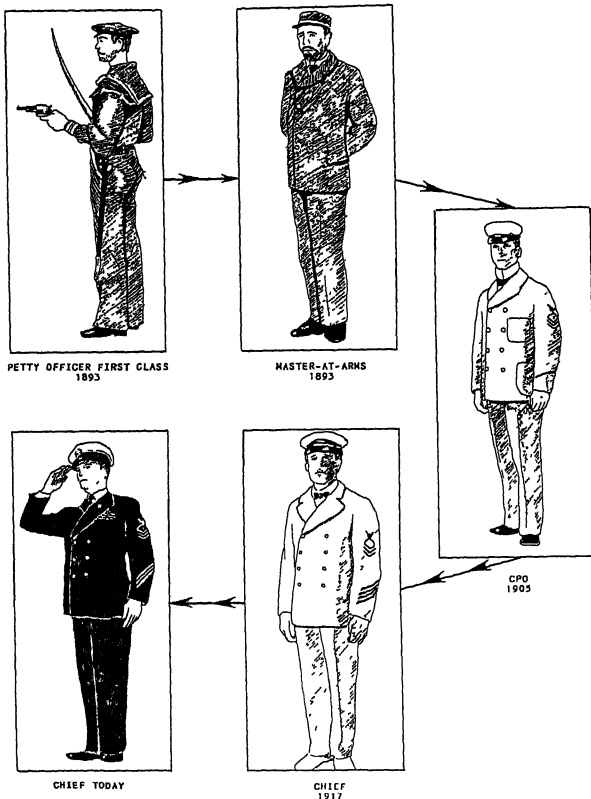


Figure 7-4.—Evolution of the CPO uniform.

in figure 7-4, many of the original uniform styles have remained throughout the years.

In 1865 a Navy regulation reestablished the term *chief petty officer*. The term was first used for the ship's master-at-arms. It made him responsible for preservation of order and obedience to all regulations. An excerpt from an 1865 regulation tasked the senior enlisted person with the following responsibility:

The Master-at-Arms will be the chief petty officer of the ship in which he shall serve. All orders from him in regard to the police of the vessel, the preservation of order, and the obedience to regulations must be

obeyed by all petty officers and others of the crew. But he shall have no right to succession in command, and shall exercise no authority in matters not specified above.

This, however, did not establish the term *chief* as a rate. It was merely a function rather than a rate. Petty officers were divided into petty officers of the line and petty officers of the staff. Chief referred to the principal petty officer of the ship.

The next reference to the term *chief* was in U.S. Navy Regulation Circular Number 41 dated 8 January 1885 (fig. 7-5). Here again the term *chief* refers to a function or title rather than a rate.

# GENERAL ORDERS AND CIRCULARS

EXECUTIVE MANSION, December 31, 1884

The Executive Order of November 5, 1883, is hereby modified as follows:

The ratings of 1st, 2d, and 3d class machinist are abolished, and hereafter there will be one rating of machinist in the Navy, with the pay of \$70.00 a month.

New ratings are hereby established as follows:

RATING		Monthly Pay
Boilermaker .. . . .		\$60.00
Water Tenders .. . . .		38.00
Oilers .. . . .		36.00
Chief Musician .. . . .		36.00

CHESTER A. ARTHUR

January 8, 1885

## U S NAVY REGULATION CIRCULAR, NO. 41

The following classification of petty officers and enlisted men in the Navy, and of non-commissioned officers, musicians, and privates in the Marine Corps, is hereby adopted.

WM E. CHANDLER,  
Secretary of the Navy

### CLASSIFICATION

	SEAMAN CLASS	SPECIAL CLASS	ARTIFICER CLASS	MARINES
Petty Officer 1st Class	Chief Boatwain's Mates Chief Quartermasters Chief Gunner's Mates	Masters-at-Arms . . . Equipment Yeomen Apothecaries Paymaster's Yeomen Engineer's Yeomen Ship's Writers School Masters Band Masters	Machinists	Sergeant Majors 1st Sergeants
Petty Officer 2d Class	Boatswain's Mates Quartermasters Mates Coxswains to Commander-in-Chief	Ship's Corporals Ship's Cooks Chief Musicians	Boilermakers Armors Carpenter's Mates Blacksmiths Sailmaker's Mates Water Tenders	Sergeants
Petty Officer 3d Class	Captains of Forecastle Captains of Main Top Captains of Mizzen Top Captains of Afterguard Coxswains Quarter-Gunners Seamen-Gunners	Captains of Hold	Printers Painters Oilers	Corporals
Seaman 1st Class	Seamen Seamen-Apprentices, 1st class	Lamplighters Jacks-of-the-Dust Buglers Musicians, 1st class Tailors Barbers	Firemen, 1st class Carpenters Calkers	Musicians Orderlies
Seaman 2d Class	Ordinary Seamen Seamen-Apprentices, 2d class	Baymen Musicians	Firemen, 1st class	Privates
Seaman 3d Class	Landsmen Apprentices, 1st class Apprentices, 2d class Apprentices, 3d class Boys		Coal Heavers	
MESS-MEN				
Stewards, cooks, and attendants				

Figure 7-5.—U.S. Navy Regulation Circular No. 41.

## NAVY DEPARTMENT

GENERAL ORDER  
No 409

WASHINGTON, February 25, 1893

The following Executive Order is published for the information and guidance of all persons concerned.

B F. TRACY,  
Secretary of the Navy

EXECUTIVE MANSION, WASHINGTON, D C., February 25, 1893

On and after the 1st day of April, 1898, the pay of the Petty Officers and other enlisted men of the Navy shall be as follows, but his order shall not reduce the pay or rating of any enlisted man during his present enlistment, below, the rate or pay at which he was enlisted, or in which he is now serving, unless he shall be reduced in rating as provided by law or regulations:

RATING	Monthly Pay	RATING	Monthly Pay
Chief Masters-at-Arms . . . . .	\$65 00	Painters . . . . .	\$30.00
Chief Boatswains' Mates . . . . .	50.00	Carpenters' Mates, third class . . . . .	30.00
Chief Gunners' Mates . . . . .	50.00	Firemen, first class . . . . .	35 00
Chief Quartermasters . . . . .	50.00	Firemen, second class . . . . .	30 00
Masters-at-Arms, first class . . . . .	40 00	Shipwrights . . . . .	25 00
Boatswains' Mates, first class . . . . .	40 00	Sailmakers . . . . .	25 00
Gunners' Mates, first class . . . . .	40.00	Coal Passers . . . . .	22 00
Quartermasters, first class . . . . .	40.00	Bandmasters . . . . .	52 00
Schoolmasters . . . . .	40 00	Yeomen . . . . .	60 00
Masters-at-Arms, second class . . . . .	35 00	Apothecaries . . . . .	60 00
Boatswains' Mates, second class . . . . .	35 00	Writers, first class . . . . .	35 00
Gunners' Mates, second class . . . . .	35 00	First Musicians . . . . .	36 00
Quartermasters, second class . . . . .	35.00	Writers, second class . . . . .	30 00
Masters-at-Arms, third class . . . . .	30 00	Writers, third class . . . . .	25 00
Coxswains (1) . . . . .	30 00	Musicians, first class . . . . .	32 00
Gunners' Mates, third class . . . . .	30 00	Musicians, second class . . . . .	30 00
Quartermasters, third class . . . . .	30.00	Buglers . . . . .	30 00
Seamen Gunners . . . . .	26 00	Baymen . . . . .	18 00
Seamen (2) . . . . .	24 00	Ship's Cooks, first class . . . . .	35 00
Apprentices, first class . . . . .	21 00	Ships' Cooks, second class . . . . .	30 00
Ordinary Seamen . . . . .	19 00	Ships' Cooks, third class . . . . .	25 00
Apprentices, second class . . . . .	15 00	Ships' Cooks, fourth class . . . . .	20 00
Landsmen (3) . . . . .	16 00	Stewards to Commanders-in-Chief . . . . .	45 00
Apprentices, third class . . . . .	9 00	Stewards to Commandants . . . . .	45 00
Machinists . . . . .	70 00	Cabin Stewards . . . . .	37 00
Chief Carpenters' Mates . . . . .	50 00	Wardroom Stewards . . . . .	37 00
Boilermakers . . . . .	60.00	Steerage Stewards . . . . .	25 00
Coppersmiths . . . . .	50 00	Warrant Officers' Stewards . . . . .	24 00
Blacksmiths . . . . .	50 00	Cooks to Commanders-in-Chief . . . . .	40 00
Carpenters' Mates, first class . . . . .	40 00	Cooks to Commandants . . . . .	40 00
Plumbers and Fitters . . . . .	45 00	Cabin Cooks . . . . .	32 00
Water Tenders . . . . .	38 00	Wardroom Cooks . . . . .	32 00
Sailmakers' Mates . . . . .	40 00	Steerage Cooks . . . . .	22 00
Oilers . . . . .	36 00	Warrant Officers' Cooks . . . . .	20 00
Carpenters' Mates, second class . . . . .	35.00	Mess Attendants . . . . .	16 00
Printers . . . . .	35 00		

(1) Coxswains detailed as Coxswains of steam launches, or as Coxswains to Commanders-in-Chief shall receive five dollars per month in addition to their pay

(2) Seamen in charge of Holds shall receive five dollars per month in addition to their pay

(3) Landsmen assigned to duty as Jacks-of-the-Dust or as Lamplighters shall receive five dollars per month in addition to their pay.

BENJ HARRISON

Figure 7-6.—Navy Department General Order No. 409.

The men filling these chief billets were actually first and second class petty officers. The classification of these ratings can be seen in figure 7-5.

A significant change to uniforms and rating badges occurred in 1886. The first class petty officer wore a double-breasted, sack-style jacket, while petty officers second class and below retained the traditional jumper-style uniform. The first class rating badge consisted of an eagle, three chevrons, and a specialty mark. The master-at-arms rating badge, however, consisted of an eagle, three chevrons, a specialty mark, and three arcs

or rockers. This jacket along with the master-at-arms rating badge falsely led many people to believe this was a chief petty officer uniform.

On 25 February 1893, President Benjamin Harrison issued an executive order outlining the pay scale for Navy enlisted personnel. This executive order was issued to the Navy as General Order Number 409 (fig. 7-6). This general order divided the pay scale into rates and for the first time listed CPOs. Both General Order Number 409 and U.S. Navy Regulation Circular Number 1 (fig. 7-7) listed chief petty officers as distinct

U S NAVY REGULATION CIRCULAR No 1			
NAVY DEPARTMENT WASHINGTON, D.C., MARCH 13, 1893			
The following classification of petty officers and enlisted men in the Navy, and of the noncommissioned officers, musicians, and privates in the Marine Corps, is hereby adopted, to take effect on and after April 1, 1893			
CLASSIFICATION			
CHIEF PETTY OFFICER			
SEAMAN BRANCH	ARTIFICER BRANCH	SPECIAL BRANCH	MARINES
Chief Master-at-Arms Chief Boatswain's Mate Chief Gunner's Mate Chief Quartermaster	Machinist Chief Carpenter Mate	Yeomen Apothecaries	Sergeants Major First Sergeants in charge of guard
PETTY OFFICER, FIRST CLASS			
Master-at-Arms, 1st Class Boatswain's Mate, 1st Class Gunner's Mate, 1st Class Quartermaster, 1st Class Schoolmaster	Boilermakers Carpenter Blacksmith Plumbers and Fitters Sailmakers Mate Carpenters Mate, 1st Class Water Tender	First Musician Writers, 1st Class	First Sergeant
PETTY OFFICER, SECOND CLASS			
Master-at-Arms, 2d Class Boatswain's Mate, 2d Class Quartermaster, 2d Class	Carpenters Mate, 2d Class Printers Oilers	Writers, 2d Class	Sergeants
PETTY OFFICER, THIRD CLASS			
Master-at-Arms, 3d Class Coxswain Gunner's Mate, 3d Class Quartermaster, 3d Class	Carpenters Mate, 3d Class Painters	Writers, 3d Class	Corporals

Figure 7-7.—U.S. Navy Regulation Circular No. 1.

rates. These documents went into effect on 1 April 1893. All evidence indicates this as the date the chief petty officer rate was actually established.

So, what is the answer to the question, When was the term *chief petty officer* first used in the Navy? Based on U.S. Navy Regulation Circular Number 1, the majority of first class petty officer ratings were automatically reclassified as chief petty officer ratings.

On 24 September 1894 General Order Number 431 was issued. This general order changed the three rockers on the master-at-arms rating badge to one rocker. We know this as the rating badge of the CPO today. This general order also changed first, second, and third class chevrons to their present-day form.

## THE CPO UNIFORM

You should consider a neat, clean uniform to be a tool of your trade. As a CPO, your trade has changed to the business of getting things done by your subordinates. A CPO who presents a sharp military appearance usually gets things done better than the nonprofessional who presents a poor appearance. Think about who receives the most respect: the person who presents a sloppy appearance or the one who wears the uniform with pride. A person who rates respect looks the part.

## REQUIRED AND OPTIONAL UNIFORMS

The uniforms prescribed for you as a CPO are divided into four separate categories. They are

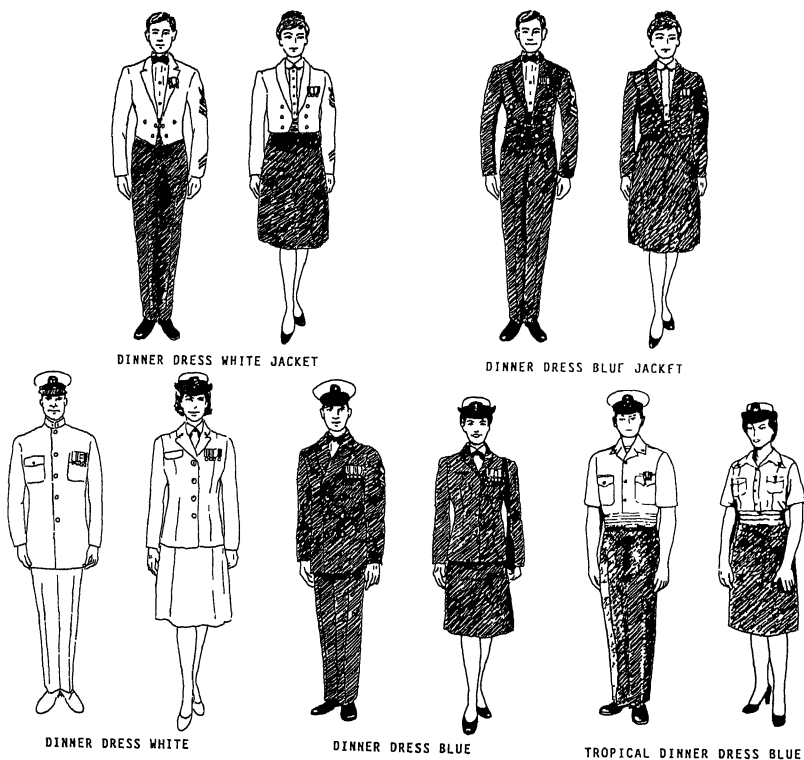


Figure 7-8.—Dinner dress uniforms.

dinner dress, ceremonial, service dress, and working uniforms.

Figure 7-8 shows dinner dress uniforms. You normally wear these uniforms to the types of official functions that are equivalent to your civilian counterpart's black tie function. The dinner dress blue jacket and dinner dress white jacket uniforms are optional. If the official function calls for this type of uniform, you should wear it if you have one. If you do not have the uniform, you may wear another prescribed uniform. You should already have combinations of the dinner dress blue, dinner dress white, and tropical dinner dress blue uniforms. Although you may not always wear the same components for these functions, you will wear the same basic uniform.

Full dress blue and full dress white are variations of the service dress blue and service dress white uniforms. You wear medals on these uniforms instead of the ribbons that you wear on service dress uniforms.

You normally wear full dress uniforms on ceremonial occasions. Such occasions include change of command, official visits with honors, and visits to foreign men-of-war and official dignitaries.

Figure 7-9 shows service dress white and service dress blue uniforms. You normally wear this uniform to official functions that do not prescribe formal dress, dinner dress, or full dress uniforms. The civilian equivalent would be a coat-and-tie function. Service dress blue yankee (fig. 7-9), an optional uniform made up of components

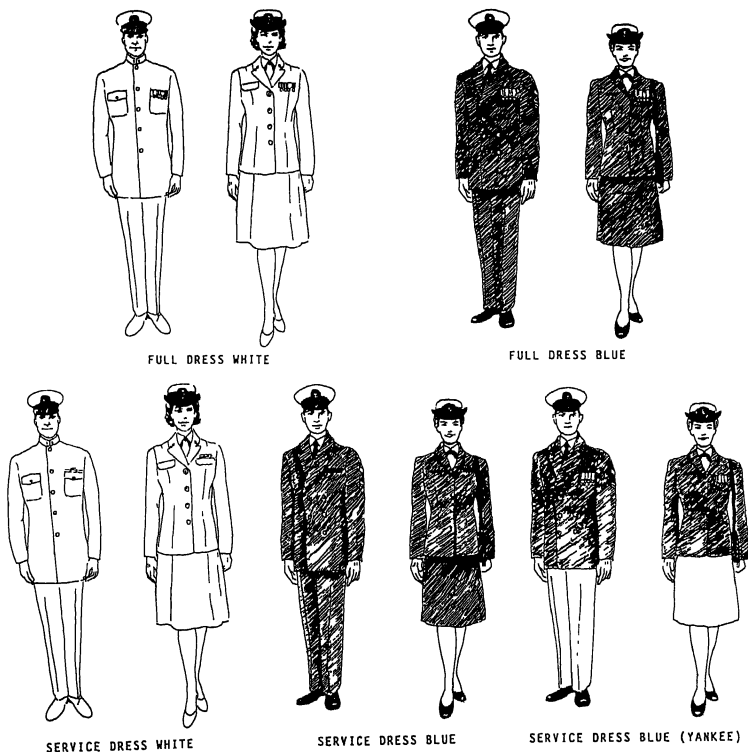


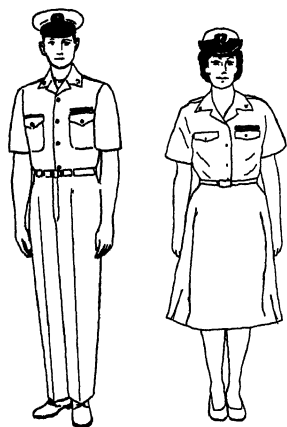
Figure 7-9.—Full and service dress uniforms.

from required uniforms, may be prescribed for official functions. The service dress blue uniform is authorized for travel during any uniform season unless civilian clothing is required for safety.

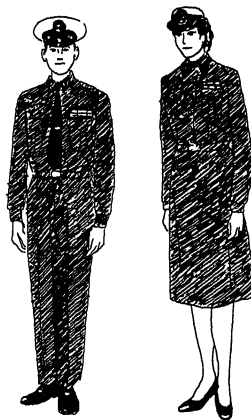
Figure 7-10 shows summer white, winter blue, summer khaki, and tropical white uniforms. You normally wear these uniforms for office work,

watch standing, liberty, and business ashore. These uniforms may be prescribed as the uniform of the day. You normally wear the tropical white uniform in tropical climates. You may also wear it for the same occasions as the other service uniforms.

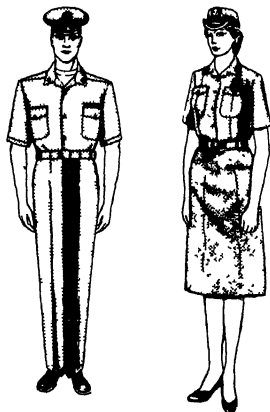
Figure 7-11 shows the working uniforms—working khaki, winter working blue, and tropical



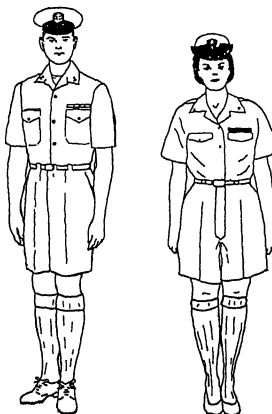
SUMMER WHITE



WINTER BLUE



SUMMER KHAKI



TROPICAL WHITE

Figure 7-10.—Service uniforms.

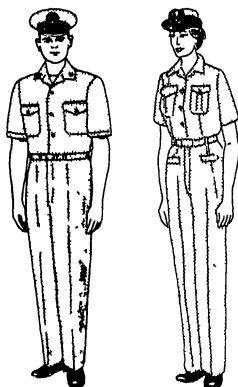
khaki. You wear these uniforms when working conditions for service uniforms are unsafe or the service uniform would become unduly soiled. You normally wear the tropical khaki uniform in tropical climates.

If you are assigned to an aviation command, you have the option of wearing the aviation working green uniform (fig. 7-11). You may wear this uniform, if authorized, when working at aviation

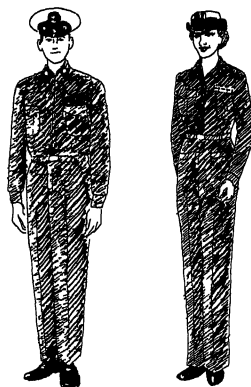
activities, flying, or aboard vessels servicing aircraft. You may also wear this uniform at advanced bases when prescribed by the senior officer present.

### **CORRECT WEARING OF THE CPO UNIFORM**

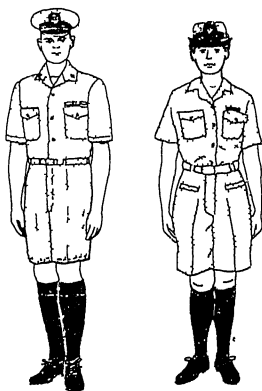
As a member of the United States Navy, you should set and maintain the highest standards of



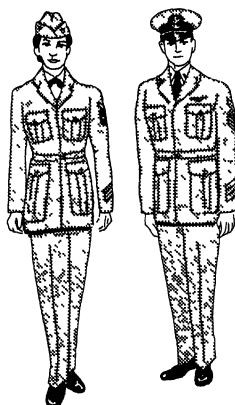
**WORKING KHAKE**



**WINTER WORKING BLUE**



**TROPICAL KHAKE**



**AVIATION GREEN WORKING**

**Figure 7-11.—Working uniforms.**

uniform appearance. Your attention to detail reflects the Navy's image to the public. You should keep your uniform scrupulously clean. The gold bullion lace, devices, and insignia should be bright and free from tarnish and corrosion. When you are in uniform, no articles, such as pencils, pens, jewelry, combs, large wallets, cigarettes, or pipes, should protrude or be visible on your uniform. If you wear a cross, pendant, or some other emblem, you should make sure it is not visible. You may wear wristwatches, bracelets, and rings while in uniform, but they should be in good taste. You may wear tie clasps, cuff links, and shirt studs as outlined in *U.S. Navy Uniform Regulations (Uniform Regs)*.

When wearing jewelry you should not wear something that would create a safety hazard for you or one of your workers. You should avoid wearing any eccentric or faddish articles that may bring attention to you in either a negative or positive manner.

You may wear sunglasses when not in military formation, but they should be conservative in style.

You should wear undergarments that preserve the dignity and appearance of your uniform.

## CPO Caps and Their Insignias

The most dramatic change to your uniform is your cap. As a CPO, you wear a combination cap similar to the type worn by commissioned officers except with minor changes. One of these changes is the cap device, the CPO insignia. This insignia is a fouled anchor with the silver letters *USN* superimposed on the anchor shank. Instead of a gold chin strap, as on the officer's cap, the chin strap on the CPO cap is leather, covered with black vinyl. This black vinyl gives the appearance of patent leather. The strap adjusts by two adjusting loops, one on either end. The chin strap attaches to the cap with two small Navy eagle gilt buttons. When you wear the cap, the eagles on these buttons should be upright. When assembling the combination cap, you should make sure the rivet (centered in the adjustment loop) will be on your left when wearing the cap. You wear the cap squarely on the head, 1 1/2 inches above the eyebrow. You may also wear a garrison cap or tropical helmet if it is prescribed by proper authority. You wear a tropical helmet with a miniature cap device centered on the front of the helmet in tropical climates. Women CPOs may wear either a tiara or the combination cap with the formal dinner dress white and blue uniform (See fig. 7-12 for the required CPO caps )

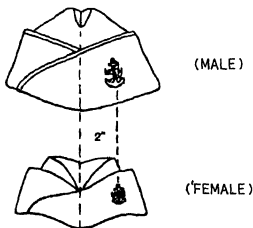
## Rating Badges

The CPO rating badge is similar to the first class rating badge. The basic difference is the position of the eagle. On the CPO badge, it is perched on the center point of the rocker or arc. The chevrons on the male rating badge measure 3 1/4 inches across, on the female rating badge, they measure 2 1/2 inches across or about 3/4 the size of the male rating badge. The color of the rocker and chevrons depends on each particular uniform. (See fig. 7-13 for the CPO rating badge.)

The rating badge worn on the dress blue uniform has a navy blue background with the



COMBINATION CAP-CPO



GARRISON CAPS

Figure 7-12.—CPO caps.



CHIEF PETTY OFFICER

Figure 7-13.—CPO rating badge.

eagle and specialty mark embroidered in silver thread. The rating badge and service stripes are either scarlet or gold, depending on the length and type of service. Service stripes are discussed later in this section.

The white dinner dress jacket rating badge has a white background. The rating badge and service stripes are blue or gold, depending on the length and type of service. The specialty mark is silver. The aviation working green uniform rating badge has a forest green background. The rating badge, service stripes, and specialty mark are navy blue. You do not wear a rating badge on the tropical dinner dress blue, summer white, service dress white, full dress white, dinner dress white, or khaki uniforms.

### Senior and Master Chief Petty Officer

The rating badge of a senior or master chief petty officer varies only slightly from

the chief petty officer's rating badge. The senior chief petty officer rating badge has a silver star centered about 1 inch above the head of the eagle. On the cap and collar devices, the star is in the ring of the stock. The master chief petty officer rating badge has a star placed about 1 inch above each wing tip. The stars on the cap and collar devices are placed on the upper edge of the stock. The stars for senior and master chief are made of embroidered silver thread. When a master chief petty officer is assigned as the command master chief, the specialty mark is replaced with a silver star. If assigned to a billet as fleet or force master chief, the stars will be of embroidered gold thread. The master chief petty officer of the Navy wears three gold stars in a line above the eagle. A gold star replaces the rating specialty mark. The collar and cap devices also have three stars, but the center star is slightly higher than the other two (see fig. 7-14).



SENIOR CHIEF  
PETTY OFFICER



MASTER CHIEF  
PETTY OFFICER



COMMAND MASTER  
CHIEF PETTY OFFICER  
(C M/C)  
(SILVER STARS)



FLEET/FORCE MASTER  
CHIEF PETTY OFFICER  
(F M/C)  
(GOLD STARS)



MASTER CHIEF PETTY  
OFFICER OF THE NAVY  
(MCPON)



Figure 7-14.—Rating badges and collar devices worn by senior, master, command, and fleet/force chiefs and the master chief petty officer of the Navy.

## Collar Devices

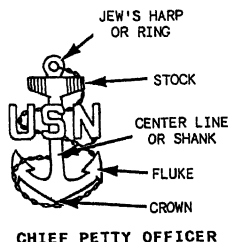
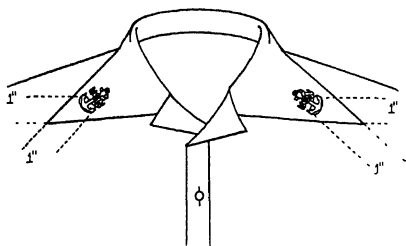


Figure 7-15.—CPO collar device.

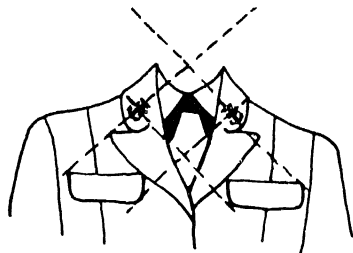
Figure 7-15 shows the CPO collar device. On short-sleeved shirts, wear the device with the crown pointing toward the corner of the collar. Center the device on a vertical axis intersecting the *USN* insignia 1 inch from the front and lower edges of the collar. Figure 7-16 shows an example of the collar device on short-sleeved khaki and summer white shirts.

You position collar devices differently on long-sleeved shirts. On these shirts wear the collar device parallel to the forward edge of the collar. Center it at a point 1 inch from the forward edge and 1 inch down from the top. Figure 7-16 shows an example of the positioning of the collar devices on the blue and long-sleeve khaki shirts and the short-sleeve white and khaki shirts.

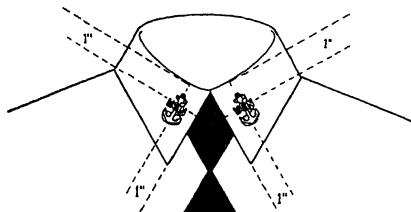
You wear service stripes, or hash marks, for each 4 years of service. The service stripe for the



SHORT SLEEVE KHAHI AND WHITE SHIRT



WOMEN'S DRESS WHITES



LONG SLEEVE KHAHI AND BLUE SHIRT

Figure 7-16.—Positioning of collar devices.

male CPO is 7 inches long and 3/8 inch wide. The female CPO's service stripe is 5 1/4 inches long and 1/4 inch wide. When you wear more than one service stripe, position them 1/4 inch apart. The color of the service stripe differs with various uniform requirements and the years of service. CPOs wear scarlet service stripes when they have less than 12 years' total military service or have a break in their good conduct eligibility requirements. Receiving the Navy's Good Conduct Medal, the Reserve Meritorious Service Award, or the Marine Corps Good Conduct Medal depends on your conduct, performance, and reliability. Gold hash marks require that you have at least three service stripes. To continue wearing the gold hash marks requires that you continue to meet the eligibility requirements throughout your career. If you fail to maintain the eligibility requirements for the continued wearing of gold, the 12-year eligibility requirement will be reestablished. A courts-martial conviction also terminates your eligibility to wear gold hash marks.

A person who was authorized to wear gold hash marks upon transfer to the Fleet Reserve may retain this right if recalled to active duty. In this case, Fleet Reserve time is considered neutral time for determining additional service stripes.

### Awards

An *award* is a term used to denote any decoration, medal, badge, ribbon, or attachment given to a person. Personnel wear all awards in a certain precedence or order as part of the uniform. Precedence indicates relative importance of the award. Awards are divided into the following five categories:

- Military decorations
- Unit awards
- Nonmilitary decorations
- Campaign and service awards
- Foreign decorations and non-U.S. service awards

**PRECEDENCE.**—You may wear all awards according to their order of precedence as shown in chapter 10 of *Uniform Regs.* Awards and United States decorations received from other services may be worn below all naval awards.

**MILITARY DECORATION.**—A person receives this award for an act of exceptional bravery or heroism or for particularly meritorious service. These awards receive the highest precedence and include the following decorations:

- Medal of Honor
- Navy Cross
- Purple Heart
- Navy Commendation Medal
- Navy Achievement Medal

**UNIT AWARDS.**—These awards are similar to military decorations. You may receive these awards for a particular time period specified in a citation. They are usually worn by all personnel who were attached to a unit or command during a particular time period specified in the citation. You may wear unit awards below military decorations. They include the following decorations.

- Presidential Unit Citation Ribbon
- Navy Unit Commendation Ribbon
- Meritorious Unit Commendation Ribbon
- Navy E

**NONMILITARY DECORATIONS.**—You receive these decorations for various personal actions. If you are awarded more than one nonmilitary decoration, the dates the awards are accepted will establish their precedence. One exception to this rule is when two or more awards for the same agency are authorized. The rules for precedence established within that agency will then apply. Additionally you may wear a nonmilitary award on your uniform only if you wear it with at least one military award. Nonmilitary decorations rank next in line after unit awards in order of precedence. A partial listing of nonmilitary decorations follows:

- Presidential Medal of Freedom
- Gold Lifesaving Medal
- Silver Lifesaving Medal
- Medal of Merit

#### **CAMPAIGN AND SERVICE AWARDS.—**

You may receive these awards for participation in a war, campaign, or expedition, or to denote creditable service requirements. The following are some of the service awards:

- Good Conduct Medal
- Naval Reserve Meritorious Service Medal
- Expeditionary Medals
- Sea Service Deployment Ribbon
- Armed Forces Reserve Medal
- Naval Reserve Medal

#### **FOREIGN DECORATIONS AND NON-**

**U.S. SERVICE AWARDS.**—You are authorized to accept military decorations from foreign governments. You may wear these decorations in the order you receive them below all other U.S. awards, provided these awards are listed in chapter 10 of *Uniform Regs.* If unlisted, you may request permission to wear the award from the Navy Board of Awards and Decorations or the Navy Uniform Matters Office. The country awarding the decoration determines the precedence of the awards if you have earned two or more. The following examples are authorized decorations awarded by Vietnam:

- National Order of Vietnam
- Military Merit Medal
- Army Distinguished Service Order
- Air Force Distinguished Service Order

Foreign unit awards are awards that do not require individual legislative authorization. You wear them below all other foreign personal decorations. The following lists foreign unit awards in order of precedence:

- Philippine Republic Presidential Unit Citation
- Korean Presidential Unit Citation
- Vietnam Presidential Unit Citation

You wear non-U.S. service awards immediately below all foreign unit awards. Some of them are as follows:

- Philippine Defense Ribbon
- United Nations Service Medal
- United Nations Medal

You wear foreign service awards below non-U.S. service awards. You wear at least one U.S. award when wearing a foreign service award.

Some foreign awards are attached to long ribbons or sashes that you wear around your neck; others are designed as pins that attach to your uniform. You may wear these types of awards on service dress or full dress uniforms while serving in that country. You are not authorized to wear foreign awards after completion of that tour of duty.

**MARKSMANSHIP AWARDS.**—If authorized to wear marksmanship awards, you wear them immediately above the left pocket. You should arrange them according to their seniority, from inboard to outboard, except for the President's Hundred Award, which you wear on the left shoulder. You may wear up to three authorized badges in a row. You may wear only two Excellence in Competition Badges for a specific weapon if you have not earned the Distinguished Badge for the same weapon. You may wear Distinguished Badges or Excellence in Competition Badges received while in another service. When wearing ribbons, place the badges directly below the bottom row of ribbons. If you are wearing large medals, place the badges immediately below the bottom row of medals so that only the medallion of each badge is visible. You should not wear badges with miniature medals. The order of precedence for marksmanship badges is listed below.

- U.S. Distinguished International Shooter Badge
- Distinguished Marksman Badge
- Distinguished Pistol Shot Badge
- National Trophy Match Rifleman Excellence in Competition (Gold) Badge

**IDENTIFICATION BADGE AND BREAST INSIGNIA.**—In addition to your awards and

decorations, you may have qualified for a specialty insignia or be assigned to a special unit or duty. The specialty insignia is awarded for a warfare specialty or other specialties in which you may have qualified. Identification badges represent the present unit or job to which you are assigned. An identification badge might identify a special command or a function within a command. (For example, if you are assigned to recruiting duty, you would wear a recruiting command badge. Another example could be a command career counselor or command chief petty officer badge.) A complete listing of badges and insignias, and the guidelines for wearing them, may be found in chapter 10 of the *Uniform Regs*. The following special rules apply to the wearing of badges and insignia:

- You may not wear a breast insignia or a badge awarded by another armed service or nation unless authorized by the Secretary of the Navy.
- You may wear two warfare specialty insignias. If more than two are earned, you have the option to choose which two you will wear
- You may wear a maximum of two awards. They can either be two warfare insignias, or one warfare specialty insignia and one other insignia, such as the Aircrewman, Explosive Ordnance Disposal, or Underwater insignia (A badge may also be worn in addition to the two insignias)

Consult chapter 10 of *Uniform Regs* for the proper wearing and positioning of badges and insignias

### **Wearing of Awards**

You should wear any decoration, medal, badge, ribbon or attachment awarded to you in the order of precedence and in the manner described in *U.S. Navy Uniform Regulations*. You should proudly display all awards presented to you.

You should be constantly aware of the appearance of your awards. Are the awards frayed? Do they present an unsightly appearance? It is a good idea to have an extra set of ribbons for inspections and routine replacement. Remember—you're a professional—look the part!

**RIBBONS.**—You wear one, two, or three ribbons in a single row. When authorized more than three ribbons, you wear them in horizontal rows of three each. If not in multiples of three, the uppermost row contains the lesser number. Arrange the center of this row over the center of the one below it. Wear your ribbons without intervals between ribbons or rows of ribbons. Arrange the lower edge of the bottom row centered 1/4 inch above the left breast pocket and parallel to the floor. To prevent covering the ribbons by the coat lapel, align them so that their border aligns with the left side of the pocket. The upper rows may also contain two ribbons each. Align these two rows with the left border of the lower rows to prevent covering them by the coat lapels also. Arrange ribbons on the right breast with the lower edge of the bottom row centered 1/4 inch above the right breast pocket and parallel to the floor. On uniforms with no right breast pocket, arrange ribbons in the same relative position as if there were a pocket.

You may sew ribbons to uniforms or arrange them on bars to be attached to the uniform. Do not impregnate ribbons with preservatives that change their appearance or enclose them with a transparent covering of any sort.

Arrange ribbons in order of precedence in rows from top down and inboard to outboard within rows. If you possess three or more ribbons, wear the three senior ribbons; you may wear all if desired. If you only wear one row of ribbons, wear the three senior ribbons.

### **WEARING OF RIBBONS WITH MEDALS.**—

When large medals are prescribed, center awards not having large medals on the right breast. Place them in the same relative position as the holding bar of the lowest row of medals. If awarded more than one ribbon of this type, wear the senior ribbon.

Ribbons with medals include the Presidential Unit Citation, the Navy Unit Commendation, the Meritorious Unit Commendation, the Navy E, the Combat Action Ribbon, foreign unit awards, and marksmanship ribbons. Arrange these ribbons in order of precedence in rows from top down and inboard to outboard within rows. If you possess three or more ribbons, wear a minimum of three; you may wear all if desired. If you wear only one row of ribbons, wear the three senior ribbons.

When miniature medals are prescribed, do not wear ribbons for which no medals are provided.

#### **CAMPAIGN AND SERVICE AWARDS.—**

You may receive these awards for participation in a war, campaign, or expedition, or to denote creditable service requirements. The following are some of the service awards:

- Good Conduct Medal
- Naval Reserve Meritorious Service Medal
- Expeditionary Medals
- Sea Service Deployment Ribbon
- Armed Forces Reserve Medal
- Naval Reserve Medal

#### **FOREIGN DECORATIONS AND NON-U.S. SERVICE AWARDS.—**

You are authorized to accept military decorations from foreign governments. You may wear these decorations in the order you receive them below all other U.S. awards, provided these awards are listed in chapter 10 of *Uniform Regs.* If unlisted, you may request permission to wear the award from the Navy Board of Awards and Decorations or the Navy Uniform Matters Office. The country awarding the decoration determines the precedence of the awards if you have earned two or more. The following examples are authorized decorations awarded by Vietnam:

- National Order of Vietnam
- Military Merit Medal
- Army Distinguished Service Order
- Air Force Distinguished Service Order

Foreign unit awards are awards that do not require individual legislative authorization. You wear them below all other foreign personal decorations. The following lists foreign unit awards in order of precedence:

- Philippine Republic Presidential Unit Citation
- Korean Presidential Unit Citation
- Vietnam Presidential Unit Citation

You wear non-U.S. service awards immediately below all foreign unit awards. Some of them are as follows:

- Philippine Defense Ribbon
- United Nations Service Medal
- United Nations Medal

You wear foreign service awards below non-U.S. service awards. You wear at least one U.S. award when wearing a foreign service award.

Some foreign awards are attached to long ribbons or sashes that you wear around your neck; others are designed as pins that attach to your uniform. You may wear these types of awards on service dress or full dress uniforms while serving in that country. You are not authorized to wear foreign awards after completion of that tour of duty.

**MARKSMANSHIP AWARDS.—**If authorized to wear marksmanship awards, you wear them immediately above the left pocket. You should arrange them according to their seniority, from inboard to outboard, except for the President's Hundred Award, which you wear on the left shoulder. You may wear up to three authorized badges in a row. You may wear only two Excellence in Competition Badges for a specific weapon if you have not earned the Distinguished Badge for the same weapon. You may wear Distinguished Badges or Excellence in Competition Badges received while in another service. When wearing ribbons, place the badges directly below the bottom row of ribbons. If you are wearing large medals, place the badges immediately below the bottom row of medals so that only the medallion of each badge is visible. You should not wear badges with miniature medals. The order of precedence for marksmanship badges is listed below:

- U.S. Distinguished International Shooter Badge
- Distinguished Marksman Badge
- Distinguished Pistol Shot Badge
- National Trophy Match Rifleman Excellence in Competition (Gold) Badge

**IDENTIFICATION BADGE AND BREAST INSIGNIA.—**In addition to your awards and

decorations, you may have qualified for a specialty insignia or be assigned to a special unit or duty. The specialty insignia is awarded for a warfare specialty or other specialties in which you may have qualified. Identification badges represent the present unit or job to which you are assigned. An identification badge might identify a special command or a function within a command. (For example, if you are assigned to recruiting duty, you would wear a recruiting command badge. Another example could be a command career counselor or command chief petty officer badge.) A complete listing of badges and insignias, and the guidelines for wearing them, may be found in chapter 10 of the *Uniform Regs*. The following special rules apply to the wearing of badges and insignia:

- You may not wear a breast insignia or a badge awarded by another armed service or nation unless authorized by the Secretary of the Navy.
- You may wear two warfare specialty insignias. If more than two are earned, you have the option to choose which two you will wear
- You may wear a maximum of two awards. They can either be two warfare insignias, or one warfare specialty insignia and one other insignia, such as the Arcrewman, Explosive Ordnance Disposal, or Underwater insignia (A badge may also be worn in addition to the two insignias )

Consult chapter 10 of *Uniform Regs* for the proper wearing and positioning of badges and insignias

### **Wearing of Awards**

You should wear any decoration, medal, badge, ribbon or attachment awarded to you in the order of precedence and in the manner described in *U S Navy Uniform Regulations*. You should proudly display all awards presented to you.

You should be constantly aware of the appearance of your awards. Are the awards frayed? Do they present an unsightly appearance? It is a good idea to have an extra set of ribbons for inspections and routine replacement. Remember—you're a professional—look the part!

**RIBBONS.**—You wear one, two, or three ribbons in a single row. When authorized more than three ribbons, you wear them in horizontal rows of three each. If not in multiples of three, the uppermost row contains the lesser number. Arrange the center of this row over the center of the one below it. Wear your ribbons without intervals between ribbons or rows of ribbons. Arrange the lower edge of the bottom row centered 1/4 inch above the left breast pocket and parallel to the floor. To prevent covering the ribbons by the coat lapel, align them so that their border aligns with the left side of the pocket. The upper rows may also contain two ribbons each. Align these two rows with the left border of the lower rows to prevent covering them by the coat lapels also. Arrange ribbons on the right breast with the lower edge of the bottom row centered 1/4 inch above the right breast pocket and parallel to the floor. On uniforms with no right breast pocket, arrange ribbons in the same relative position as if there were a pocket.

You may sew ribbons to uniforms or arrange them on bars to be attached to the uniform. Do not impregnate ribbons with preservatives that change their appearance or enclose them with a transparent covering of any sort.

Arrange ribbons in order of precedence in rows from top down and inboard to outboard within rows. If you possess three or more ribbons, wear the three senior ribbons, you may wear all if desired. If you only wear one row of ribbons, wear the three senior ribbons.

### **WEARING OF RIBBONS WITH MEDALS.**—

When large medals are prescribed, center awards not having large medals on the right breast. Place them in the same relative position as the holding bar of the lowest row of medals. If awarded more than one ribbon of this type, wear the senior ribbon

Ribbons with medals include the Presidential Unit Citation, the Navy Unit Commendation, the Meritorious Unit Commendation, the Navy E, the Combat Action Ribbon, foreign unit awards, and marksmanship ribbons. Arrange these ribbons in order of precedence in rows from top down and inboard to outboard within rows. If you possess three or more ribbons, wear a minimum of three; you may wear all if desired. If you wear only one row of ribbons, wear the three senior ribbons.

When miniature medals are prescribed, do not wear ribbons for which no medals are provided.

Table 7-1.—Table for Wearing Large or Miniature Medals

		NUMBER OF MEDALS PER ROW			
NUMBER OF MEDALS TO BE WORN	PRESCRIBED NUMBER OF ROWS	TOP ROW	2d ROW	3d ROW	4th ROW
1-5	1 row only	1-5			
6	2	3	3		
7	2	3	4		
8	2	4	4		
9	2	4	5		
10	2	5	5		
11	3	3	4	4	
12	3	4	4	4	
13	3	3	5	5	
14	3	4	5	5	
15	3	5	5	5	
16	4	4	4	4	4
and so on					

**LARGE MEDALS.**—You may wear large medals on your full dress uniforms. When you wear more than one medal, suspend them from a holding bar of metal or other material of sufficient strength to support their weight. Locate the holding bar of the lowest row of medals in the same position as was previously described for the lowest ribbon bar. The bar is 4 1/8 inches wide; each row of medals is 3 1/4 inches long from the top of the ribbons to the bottom of the medals. The bottoms of the medals dress in a horizontal line. When you wear more than one row, no row should contain a lesser number of medals than the row above. Except for the uppermost row, all rows should contain the same number of medals—three medals side by side or up to five medals overlapping (see table 7-1).

Arrange medals in order of precedence in rows from top down and inboard to outboard within rows. If you possess five or more medals, wear a minimum of five; you may wear all if desired. If you wear only one row of medals, the row should consist of the five senior medals (fig. 7-17).

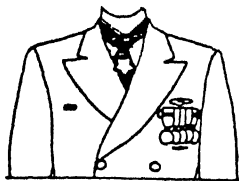
**MINIATURE MEDALS.**—You may wear miniature medals with all formal dress uniforms and dinner dress uniforms. On the male dinner

dress jackets, position the holding bar of the lowest row of miniature medals 3 inches below the notch and centered on the lapel

On the male's blue or white service coats, center the holding bar for the miniature medals immediately above the left breast pocket. On the women's blue or white coats, center the holding bar immediately above the left pocket flap. On the women's dinner dress jacket uniforms, place the holding bar in the same relative position that it would be placed on the male's dinner dress jackets. Each row of miniature medals is 2 1/4 inches long from the top of the ribbons to the bottom of the medals. The bottoms of the medals dress in a horizontal line. Position upper rows of medals so that they cover the ribbons of the medals below. Arrange medals in order of precedence in rows from top down and inboard to outboard within rows. If you possess five or more medals, wear a minimum of five medals; you may wear all if desired. If you only wear one row of medals, the row should consist of the five senior medals (fig. 7-18).

#### MAINTENANCE OF YOUR UNIFORM

To obtain the maximum service from your uniforms, you should maintain and care for them



**FULL DRESS BLUE  
(MEN)**



**FULL DRESS WHITE  
(MEN - OFFICER &  
CPO) (CPOs WEAR  
COLLAR INSIGNIA)**



**FULL DRESS WHITE/BLUE  
(WOMEN - OFFICER & CPO)**

**Figure 7-17.—Wearing of large medals.**



**DINNER DRESS JACKET  
(MEN)**



**DINNER DRESS BLUE  
(MEN)**



**DINNER DRESS WHITE  
(MEN - OFFICER &  
CPO) (CPOs WEAR  
COLLAR INSIGNIA)**



**DINNER DRESS  
(WOMEN)**



**DINNER DRESS JACKET  
(WOMEN)**

**Figure 7-18.—Wearing of miniature medals.**

properly. Even new, properly fitted uniforms will not continue to look their best or keep their shape unless you properly care for them. Carrying large or heavy items in your pockets quickly destroys the shape of your uniform. When not wearing your uniform, you should store it on a hanger.

Clean and store unused uniforms in plastic, airtight bags. For maximum preservation, place a small packet of desiccant (drying agent) inside the plastic bag with the uniform.

You may find that the plating on your buttons wears off. When this happens the copper base

becomes exposed to moist air and a green copper carbonate may develop. This is especially true if the salt content of the air is high. To remove this green carbonate, gently rub the buttons with an acetic acid or a solution containing acetic acid, such as vinegar or Worcestershire sauce. Commercial products are also available for this purpose. After rubbing with acetic acid solution, thoroughly wash the buttons with clean water. To keep your embroidered insignia clean and bright, occasionally scrub it with a nail brush and a diluted solution of ammonia. You should do this as soon as tarnish or corrosion appears, as once it has gained a foothold, the device may not be restorable.

Gold bullion lace tarnishes rapidly and may deteriorate when placed in contact with, or hung near, any substance containing sulphur. Some items that may contain sulphur are rubber and ordinary manila or kraft paper. Gold bullion should be cleaned by an experienced tailor. If you clean it yourself, you can use commercial non-toxic preparations and liquid cleaners. For best results when using these commercial preparations or cleaners, follow the manufacturer's instructions on the label.

Clean gold-filled and sterling silver rhodium finished parts of the metal insignia by washing with soap and water.

## SUMMARY

This chapter began with a review of the watch, quarter, and station bill. Your responsibilities concerning making assignments to and updating the watch, quarter, and station bill were also discussed.

Drill and formation was a review of basic drill commands you need to know when presenting the division during inspection. The procedure used in presenting the division during inspections, quarters, and ceremonial events was reviewed

Watch standing outlined your responsibilities when standing divisional duty officer or officer of the deck (in port).

Command general advisory presented the basic function, purpose, and membership of both the command mess advisory board and the mess audit board.

The chapter concluded with a review of CPO uniform history and requirements and how to maintain your uniform.

## REFERENCES

*Drill and Ceremonies Manual and Interior Guard Manual; Promulgation of*, SECNAVINST 5060.22, Office of the Secretary of the Navy, Washington, D.C., 1986.

*Personnel Qualification Standard for Deck Watches in Port*, NAVEDTRA 43397A, Chief of Naval Education and Training, Pensacola, Fla., 1987.

*Standard Organization and Regulations of the Navy*, OPNAVINST 3120.32B, Office of the Chief of Naval Operations, Washington, D.C., 1986

*Surface Warfare Division Officer Course*, CIN 4-AHA-0118, Volume 27, Chief of Naval Education and Training, Pensacola, Fla., 1990

*U.S. Navy Regulations, 1990*, Office of the Secretary of the Navy, Washington, D.C., 1990

*United States Navy Uniform Regulations*, NAVPERS 15665G, Naval Military Personnel Command, Washington, D.C., 1988.

# CHAPTER 8

## SAFETY AND DAMAGE CONTROL

### LEARNING OBJECTIVES

Upon completion of this chapter, you should be able to do the following:

1. Describe the procedure for conducting a preliminary investigation involving personal injury or death.
  2. Describe the supervisor's responsibilities for the Navy's safety program.
  3. Describe how to conduct survival training.
  4. Identify the duties of the departmental damage control chief petty officer (DDCCPO).
- 

This chapter covers areas of safety and damage control not included in the *Basic Military Requirements* through *Military Requirements for First Class* training manuals. It includes the procedure for conducting an investigation in the case of personal injury or death and a review of supervisory responsibilities in the safety program. It also covers the damage control requirements of the departmental damage control chief petty officer (DDCCPO). Since safety is related to survival, this chapter also introduces you to the survival training you are expected to conduct as a chief petty officer.

### PRELIMINARY INVESTIGATION OF INJURY OR FATALITY

One of the many potential jobs you may be required to undertake is to conduct a safety investigation of a mishap, personal injury, or fatality. The requirements for safety investigations are set forth in OPNAVINST 5102.1C. The procedures you, the investigator, should follow are contained in the *Handbook for the Conduct of Forces Afloat Safety Investigations*, NAVSAFECEN 5102/29. This section of the chapter will provide a brief description of the investigative procedures for a mishap.

### RESPONSIBILITIES

The commanding officer will appoint a qualified investigator of the appropriate paygrade. In many cases, the appropriate paygrade means the division leading chief petty officer (LCPO). The LCPO is often appointed because of his or her special qualifications. For example, the LCPO may have a highly specialized knowledge of the equipment that failed or a personal knowledge of the people and procedures used. The commanding officer is also responsible for ensuring a thorough and complete investigation is conducted.

Your responsibilities include answering the following questions: What? Where? When? How? and Why? Notice that you are not trying to find **WHO** caused the mishap. Your job is to make an objective inquiry to learn the circumstances and causes, not place the blame.

Each mishap indicates a failure or defect in a person, a piece of equipment, an environmental condition, a procedure, or a combination of these items. You should thoroughly examine each situation to determine all causes, both primary and contributory.

An important concept for you to understand is that mishaps and injuries are two separate and distinct occurrences. An injury is not the mishap;

it is the result of the mishap. The cause of a mishap is usually discovered during an investigation of an injury or damage.

## DEFINITIONS

Before continuing, let's define some of the terms with which you as an investigator need to be familiar:

**Mishap**—Any unplanned or unexpected event causing material loss or damage or causing personnel injury or death; or an occurrence that, except for proximity or timely action, would have resulted in damage or injury.

**Mishap investigation**—A check of the facts surrounding the causes of a mishap; conducted by the command involved using the procedures outlined in OPNAVINST 5102.1C.

**JAG Manual investigation**—A check that provides official, factual documentation of all matters pertaining to a mishap, which can be used for legal or administrative action.

**Naval Safety Center investigation**—An independent check conducted based on the guidelines of a mishap investigation. It is in addition to, but not a substitution for, either a JAG Manual investigation or the mishap investigation conducted by the local command.

**Protection of information**—The requirement that prevents individuals who are conducting a separate mishap investigation from divulging information obtained or from providing an opinion based on that information to any other fact-finding body. The limitations on the use of statistical mishap reports. The prevention of any part of Personnel Injury/Death/Occupational Illness Report (OPNAV Form 5102/1) or Material (Property) Damage Mishap Report (OPNAV Form 5102/2) being used in any other investigation. Protection of information is based on OPNAVINST 5102.1C.

## INVESTIGATIVE PROCEDURES

Your investigation should answer the questions of What? Where? When? How? and Why? Your investigative procedures should be geared toward these questions as well.

You should begin your investigation as soon as possible after the mishap. The sooner you begin, the better the investigation will be. Witnesses will be present. More accurate facts can be gathered because of the possibility that the damage or materials should be in the same relative position as when the mishap occurred.

You will have very little time to plan your investigation. You should be ready to proceed with the collection of facts and circumstances with little prior notification.

Real evidence, such as photographs, records, operating logs, and damaged equipment or material, can be shared by the investigative bodies. Items that fail to meet military or manufacturer's standards should be marked for investigation by the appropriate technical authority.

Photographs can provide invaluable evidence. They should be clear and provide enough detail to actually depict the situation. Color photographs should be used if possible, but black and white will suffice. Polaroid instant prints present an accurate representation of the scene. However, Polaroid type prints are difficult to reproduce or enlarge. You should take the photographs from at least two different angles and use a ruler in the photographs to show exact dimensions.

Sketches may be used instead of or in conjunction with photographs. Sketches should be drawn to scale. Use graph paper if it is available.

Pieces of equipment or material should be carefully handled to ensure physical evidence is not destroyed. Each item should be tagged with a full descriptive relationship to the accident. A photograph or sketch should be included with items sent out for laboratory testing to show the "as found" location or condition.

Verbatim copies of operating logs, records, directives, and so forth, should be made. If possible, make a photocopy or photograph. Make notations of obvious erasures and mark-overs, and make sure the notations appear in the photocopy or photograph.

Since testimony in a safety investigation is unsworn, all verbal information must be fully evaluated. You should always remember that this information is to be used for the single purpose

of improving safety. Never try to obtain written statements or record the information verbatim.

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INDIVIDUALS INTERVIEWED DURING INVESTIGATIONS CONDUCTED PURSUANT TO OPNAVINST 5102.1C SHALL NOT TESTIFY UNDER OATH AND SHALL BE ADVISED THAT THEIR STATEMENTS ARE FOR ONE PURPOSE ONLY—THE PREVENTION OF FURTHER MISHAPS. INFORMATION OBTAINED DURING ANY INVESTIGATION PURSUANT TO OPNAVINST 5102.1C SHALL NOT BE USED AS THE BASIS FOR ANY ADMINISTRATIVE, REGULATORY, DISCIPLINARY, OR CRIMINAL PROCEEDING WITHIN THE DEPARTMENT OF THE NAVY.

—Handbook for the Conduct  
of Forces Afloat Safety  
Investigations

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The following are some basic guidelines you should observe during your investigation:

- Never delay medical treatment to interview a person
- Let the witness tell you what happened.
- Interview witnesses separately
- Ask only one question at a time.
- If a witness refers to “they,” determine exactly who “they” are. If nothing else, get a description and send an investigation team out to locate “they.”

Sometimes you will find that reconstructing the mishap will help you get a clear picture of how the mishap occurred. Have those who take part in recreating the mishap proceed up to the point of the mishap. Beyond the point of the mishap, talk about the action taken and walk through the steps. Many times you will discover the cause of the mishap through the reconstruction.

## CAUSE FACTORS

Your investigative procedures should have answered the what, when, and where questions.

Next you must investigate the how and why. Review the evidence gathered in an analytical fashion to determine if you can answer how and why the mishap occurred. **DON'T OVERLOOK THE OBVIOUS.** Since most mishaps are caused by people, look to see if the personnel involved were affected by any of the following conditions:

- Physical condition: drunk, hangover, drug affected (prescribed or unauthorized), tired, ill, or hungry
- Mental attitude: worried, frightened, bored, depressed, distracted, day dreaming, confused, or complacent
- Attitude toward shipmates: distrustful, overtrusting, or contemptuous
- State of training for the task: formally trained, trained on-the-job, team trained, overtrained, or insufficient mental ability for needed training

Next, look to see if any of the following environmental conditions could have contributed to the mishap:

- Environment: hot, cold, humid, dusty, too bright, too dark, too noisy, smokey, windy, or cramped
- Equipment being operated: controls poorly located, instruments unreadable, design non-standard, operating procedure inadequate, maintenance manual incomplete, or access difficult
- Clothing and outfits: adequate, burdensome, or clumsy

## TYPES OF MISHAP REPORTS

*Mishap Investigation and Reporting*, OPNAVINST 5102.1C, prescribes the format to be used in reporting most mishaps. It defines the various categories of reportable circumstances, the format used for specific categories, and the entries required in each section of the report. The formats discussed in this instruction are designed to assist the investigator in determining all the factors previously mentioned, with particular emphasis on the question *why*. A brief description of these reports and their uses follows:

1. Personnel Injury/Death/Occupational Illness Report, OPNAV 5102-1—Used to report mishap injury, death, or occupational illness of all military personnel attached to Navy units or

(Mark X in appropriate box to indicate type of Command)				
<input type="checkbox"/> Surface Ship	<input type="checkbox"/> Submarine	<input type="checkbox"/> Diving/Salvage	<input type="checkbox"/> Aviation	<input type="checkbox"/> Shore
Command, Ship, or Ship Class			Date.	
References				
Plan No/Tech Manual/etc				
STATE <u>where</u> , where, why, how it can be prevented or corrected				
<div>SAMPLE</div>				
SIGNATURE (NOT REQUIRED)				

ORIGINAL

Instructions (1) Send original to Commander NAVSAFECEN and copies as appropriate. Retain file copy. (2) May use pencil longhand, attach additional sheets as necessary. (3) If classified information included, follow appropriate marking and mailing.

OPNAV 5102/4 (Replaces NAVSAFECEN 5101/1, 5101/2 and 5101/3 which may also be utilized to deplete existing stocks)

**Figure 8-1.—SAFETYGRAM, OPNAV 5102/4.**

2. Material (Property) Damage Mishap Report, OPNAV 5102-2—Used to report mishap material (property) damage involving a repair/replacement

8-4

However, cases of flooding, collision, grounding, explosion, or fire are investigated and reported regardless of the cost involved. One exception is small trash fires or similar fires involving no personnel injuries and material damage limited to the container in which the fire originated.

3. Explosive Mishaps Supplement Report DD-MIL(AR) 1020 (5102)—Used to report mishaps, incidents, and malfunctions (collectively referred to as explosive mishaps) involving non-nuclear explosives, explosive ordnance, chemical agents, and systems. This report is submitted as a supplement to the Material (Property) Damage Mishap Report, OPNAV 5102-2; it represents an extension of the cause factors section of that report.

4. Motor Vehicle Mishap Report, OPNAV 5102-4—Used to report a motor vehicle mishap involving a government motor vehicle or private motor vehicle (on Navy property) if it results in the following:

a. An injury or a death of any occupant or nonoccupant of the motor vehicle involved or property damage of \$1,000 or more. Damage should include damage to all motor vehicles involved, their contents, and all other government or private property.

b. A motor vehicle mishap not on Navy property involving a private motor vehicle and resulting in injury or death to Navy military or civilian personnel. A mishap involving Navy civilian personnel requires a report only when the injury occurs because of or during the performance of job-related duties. Travel to and from work does not meet the criterion for such a report.

5 SAFETYGRAM, OPNAV 5102/4 (fig 8-1)—Used to describe any situation that has mishap-causing potential or to make recommendations to improve safety. That includes near mishap and hazardous conditions which, if allowed to go unchecked or uncorrected, could cause a mishap. When submitting a Material (Property) Damage Report, OPNAV 5102-2, you may also use an unofficial correspondence SAFETYGRAM to report these situations.

Certain categories of mishaps require the submission of special reports. These special reports are specifically excluded from the reporting requirements of OPNAVINST 5102.1C. These categories and their corresponding reporting instructions are as follows:

1. Damage, injuries, or death as a direct result of hostile action. *Special Incident Reporting*, OPNAVINST 3100.6E.

2. Nuclear weapons mishaps/incidents. OPNAVINST 3100.6E and *Procedures of Joint Reporting Structure*, JCS Publication 6.
3. Mishaps associated with naval nuclear propulsion plants. *Procedures and Reporting Requirements for Nuclear and Radiological Accidents*, OPNAVINST 3040.5B and OPNAVINST 3100.6E.

Other special cases may require more than one type of report under separate instructions. An example of such a case is an aircraft mishap or a fire at a naval shore activity. The *Naval Aviation Safety Program*, OPNAVINST 3750.6P, provides for the reporting of crew members, passengers, and other persons (nonoccupants) injured or killed in an aircraft mishap. Damage to naval aircraft is also reported. However, when an aircraft mishap causes material damage to a ship or shore activity, except for aviation facilities in the flight deck or runway areas, a material property damage report is submitted. The ship or shore activity submits the report. The report details the damage sustained, the damage control and fire-fighting procedures used, and the equipment used to control or limit the damage.

Fires at naval shore activities are reported using the *Standard Organization and Regulations of the U.S. Navy (SORN)*. However, all injuries or deaths associated with these fires are reported following OPNAVINST 5102.1C. When explosives are involved in either of these special cases, the additional reports required by OPNAVINST 5102.1C will be submitted.

## PREPARING THE REPORT

The final part of the investigation is your report containing your recommendations to eliminate or control the causal factors in the mishap. Your report will contain any or all of completed OPNAV Forms 5102/1, 5102/2, or 5102/3. Appendix II of NAVSAFECEN 5102/29, *Handbook for the Conduct of Forces Afloat Safety Investigations*, contains checklists for use in the investigation of the most common types of mishaps.

Your report should provide a word picture of the entire mishap. It should be a detailed, concise account rather than a brief report of the incident. When you complete your report, forward it to the commanding officer for signature; then forward the report to the Naval Safety Center.

## MISHAP PREVENTION

A mishap is always unplanned by the person whom it affects; otherwise, the mishap would not

happen. A person who expects a mishap will do something to avoid it.

The idea that mishaps are unplanned or unintended implies two things. First, you should train people to understand what can and might happen so that preventive measures can be taken. For example, suppose you were an Electrician's Mate and understood that someone could turn on a power switch without checking first to see if it were safe to do so. You would be more likely to protect yourself by removing the fuses in the power supply circuit and properly tagging out the switch. Knowing what might happen could prevent a possible mishap. Second, you should believe the unexpected will occur sooner or later unless you take appropriate precautions. For example, suppose you are convinced that sooner or later you will get a foreign body in your eye unless you wear goggles. You will then probably wear goggles when using a power tool. Believing the mishap may occur will prompt you to protect yourself.

When a person has a mishap, production is always interrupted. The interruption may only involve a half an hour to get a minor injury treated at sick bay. At the other extreme, a disabling injury may mean the loss of a person for several weeks or months and, therefore, the loss of a needed skill. All these possibilities mean lost man-hours; lost man-hours means a delay in completing the task for which the section or division is responsible.

Why the concern about mishaps being production losses? Mishap prevention is as much a part of your job as assuring productivity. Experience has shown that the two go hand in hand—when safety is improved, productivity is also improved, and vice versa. Mishaps are symptoms of inefficient methods, tools, equipment, machines, materials, or work areas. As a supervisor, once you accept this viewpoint, you will also agree that promoting safety is part of your job.

Promoting safety involves more than reporting mishaps and correcting dangerous situations after someone has been injured, property has been damaged, or work has been interrupted. Mishap prevention also requires alertness for, and response to, situations we shall call near mishaps. A *near mishap* is an event that was prevented from resulting in property damage or personnel injury by a fraction of time or someone's timely action.

Because no injury or damage results in near mishaps, some supervisors fail to investigate them. Hence, the facts are not made a matter of record

and the causes go uncorrected. Sooner or later the same conditions could occur and result in serious injury.

Consider the case of a person who fell several feet from a ladder after slipping on a worn ladder tread. The person was slightly shaken but without injury. The fact that the sailor escaped injury was purely circumstantial. If the causes of the near mishap had not been corrected, the next victim could have suffered serious injury.

Some near mishaps involve equipment failure of some kind, such as a line parting, a control mechanism malfunctioning, or the brakes of a vehicle not holding. Some are instances of personnel failure. Take for example a sailor who had just finished hooking up a poorly loaded skip box full of used boiler firebricks. After stepping clear of the skip box, the sailor signaled the crane operator to hoist away. As the load was about 10 feet off the deck and being swung over the side, the bricks shifted and several fell to the deck. Being clear of the load, the sailor was not struck by the falling bricks. Another near mishap.

Near mishaps should be investigated whenever reported or observed. They are forewarnings of what might happen again. A mishap is almost certain to follow when such forewarnings are ignored.

## THE NAVY SAFETY PROGRAM

The objective of the Navy's safety program is to enhance operational readiness. That is done by reducing the number of deaths and injuries to personnel and losses and damage to material because of mishaps. The safety program is based on the issuance of general safety precautions to each person in the command. These include mishap prevention precautions and instructions regarding special hazards encountered in the daily work environment. The general safety precautions also include supervision in matters of safety, including continuing action and command interest in mishap prevention, and evaluation of the effectiveness of the program.

## RESPONSIBILITY FOR THE SAFETY PROGRAM

The responsibility and authority for the administration of the safety program lies within the normal unit organization. Figure 8-2 shows a typical safety organization.

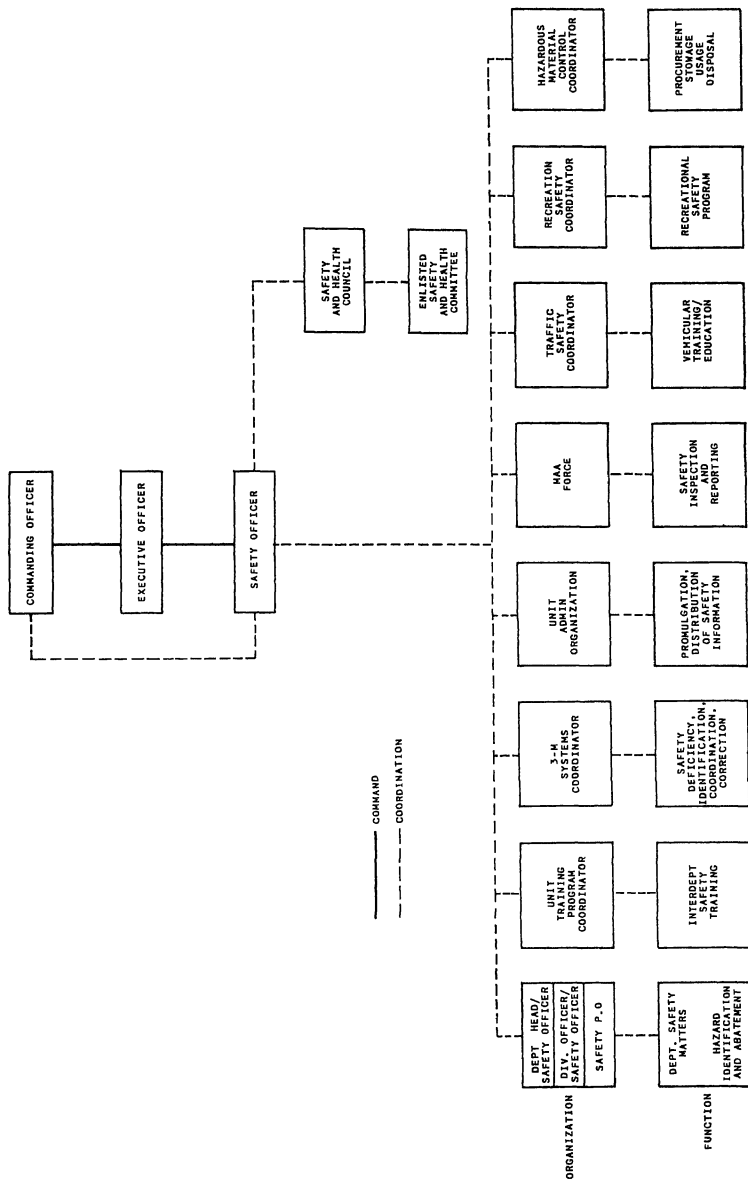


Figure 8-2.—Typical safety organization.

Safety is a command responsibility and should be carried out through the chain of command. Each level of command has responsibilities, both in training and in day-to-day supervision of both routine and specialized tasks. The safety program itself does not make a unit or crew safer; rather, the planned and coordinated activities of the crew acting as teams and subteams within the framework of the safety program make them safer.

The commanding officer has the ultimate responsibility for all safety matters within the unit. To provide day-to-day staff assistance, the commanding officer appoints a safety officer. Using policies and goals established by the commanding officer, the safety officer formulates a safety program based on the *SORN* and directives of higher authority. The safety officer monitors the crew's activities and exercises the coordination necessary to make all hands aware of the program and to keep it vital. The evaluation of the results of the program provides the commanding officer with a report about the progress of the command's mishap prevention goals. It also provides a report on the effectiveness of the unit's safety program.

## **SAFETY ORGANIZATION**

The standard unit organization for carrying out a safety program is based on chapter 7 of the *Standard Organization and Regulations of the U.S. Navy* (OPNAVINST 3120.32B).

To coordinate monitoring and evaluating efforts of the safety program without relieving personnel of assigned responsibilities, activities should establish a safety organization. The safety organization should be established following the guidelines in figure 8-2. The purpose of this organization is to monitor mishap prevention standards and to evaluate the effectiveness of the safety program. The safety organization also coordinates the distribution of safety information regarding general mishap prevention, motor vehicle safety, and recreational safety.

### **RELATIONSHIP BETWEEN ADMINISTRATIVE/WATCH ORGANIZATIONS AND THE SAFETY ORGANIZATION**

The primary responsibility for safety lies in the chain of command and rests with the appropriate members of the administrative and watch

organizations. Members of the safety organization have clear-cut responsibilities with regard to monitoring and evaluating mishap prevention. However, that in no way relieves the members of the administrative and watch assignments for which they are responsible.

## **THE SAFETY OFFICER**

The safety officer is directly under the executive officer in the chain of command regarding the safety program. However, this person has direct access to the commanding officer in matters of safety. Normally, the safety officer has department head status and is responsible for enacting a comprehensive safety program. This program is based on objectives established by the commanding officer. The safety officer is responsible for promoting maximum cooperation in safety matters at all levels and ensuring wide distribution of safety information. The safety officer is also responsible for monitoring the timely submission and accuracy of safety reports and for maintaining appropriate safety records and statistics. The safety officer may be military or civilian and the head of a safety department, depending on the size and mission of the command.

The safety officer collaborates with all department heads and departmental/divisional safety officers in matters concerning safety.

### **Department Safety Officer**

The department safety officer keeps the department head advised on the status of the department safety program within the unit. The department safety officer also performs the following duties

- Performs mishap prevention functions as the department head may assign
- Acts as the departmental point of contact for coordinating and evaluating the ship's safety program
- Ensures correction of all hazardous conditions revealed by safety hazard reports
- Maintains records of mishaps and safety hazards within the department, and maintains direct liaison with the unit safety officer

## **Division Safety Officer**

The division officer is the designated safety officer for a particular division. This person keeps the department safety officer advised on the status of the safety program within the division. The division officer also acts as the divisional point of contact in coordinating and evaluating the unit safety program. A senior petty officer, E-6 or above, should be designated as division safety petty officer. The division safety officer investigates divisional mishaps and near-mishaps. This officer ensures corrective action is taken immediately on hazardous situations revealed by mishap, hazard, and mishap/injury reports. The division safety officer develops a program that ensures divisional personnel receive mishap prevention training.

## **Division Safety Petty Officer**

As the division safety petty officer, you should become familiar with all safety directives and precautions concerning the division. In this position, you conduct assigned divisional mishap prevention training and maintain appropriate records. You help to investigate safety mishaps, recommend safety program improvements, and serve on the enlisted safety committee. You also help the division officer execute safety duties by acting as the technical adviser on matters of mishap prevention within the division.

## **Safety Council**

The safety council convenes monthly to develop recommendations for policy in safety matters and to analyze progress of the overall safety program. The safety council is composed of the commanding officer or executive officer (chairman), the unit safety officer (recorder, when not the executive officer), department heads, and a medical department representative.

The safety officer prepares an agenda in advance of each meeting of the safety council. The agenda shows the extent of any problem(s) and the need to take action. It also suggests ways to resolve problems as submitted by the safety committee or any other unit members. The safety council reviews all statistics compiled by the safety officer and hears reports from the medical department representative on injuries. It also hears from department heads on all other mishaps that occur within their departments. Further, it reviews the recommendations of the enlisted safety

committee and, by endorsement of the commanding officer, indicates which actions are being considered.

## **Enlisted Safety Committee**

The enlisted safety committee makes recommendations concerning safety programs to the safety council. It also makes recommendations to promote interdepartmental communication in mishap prevention at division and work center levels.

The enlisted safety committee consists of the unit's safety officer (senior member), the division safety petty officers, the chief master-at-arms, and a recorder.

The enlisted safety committee meets monthly to exchange information, improve communications, and review safety conditions. It suggests improvements and makes its views and recommendations known to the safety council and the commanding officer.

## **SAFETY STANDARDS AND REGULATIONS**

As a minimum, the safety program should provide the following basic elements:

1. Safety standards and regulations
2. Mishap prevention education and training
3. Maintenance
4. Safety enforcement
5. Mishap investigating and reporting

## **SAFETY STANDARDS AND REGULATIONS**

Safety standards and regulations are based on standard procedures and precautions designed to minimize risks. These standards are based on guidance and directives from higher authority. They are contained in the *SORN*, in various unit instructions, technical publications, instructions for the watches, and unit regulations. These standards and regulations are monitored to determine their adequacy and to recommend new standards to correct hazardous conditions.

## **SURVIVAL TRAINING REQUIREMENTS**

If an accident occurs at sea, you could have a direct effect on whether your personnel will

survive or perish. Proper training in survival techniques will provide your personnel with the tools to survive. You should consider survival training an important part of your shipboard training program. Basic survival training is outlined in *Airman* (NAVEDTRA 12000) and *Basic Military Requirements* (NAVEDTRA 12043).

The types of survival training to be conducted are defined in the *Military Personnel Manual (MILPERSMAN)*, articles 6610140 and 6610160. Training generally includes the following categories:

- Swimming
- Personal life saving equipment
- Abandoning ship or aircraft
- Leaving assigned spaces
- Survival equipment
- Fundamental first aid (fireman's lift and tied hands crawl, controlling bleeding, shock, burns, and administering morphine)

#### **DEPARTMENTAL DAMAGE CONTROL CHIEF PETTY OFFICER**

On large ships, a departmental damage control chief petty officer (DDCCPO) is assigned. The DDCCPO assists the damage control assistant (DCA) in carrying out the following duties and responsibilities:

1. Coordinates the training, relieving, and qualifying of the division damage control petty officers (DDCPOs) within the department
2. Informs the DCA and fire marshal of any changes of personnel assigned as DDCCPO
3. Ensures the DDCCPO performs his or her assigned duties
4. Performs other duties as directed by the DCA, the fire marshal, and the commanding officer

On small ships a DDCCPO is not assigned; the job is part of the everyday responsibilities of the department and division leading chief petty

officers. Your general responsibilities include the following:

1. Coordinating the training, relieving, and qualifying of your DDCCPO
2. Informing the DCA and fire marshal when you change your assignment of the DDCCPO
3. Ensuring your DDCCPO performs his or her assigned duties
4. Coordinating division damage control training and maintenance with the DCA and fire marshal to improve overall division damage control readiness

#### **SUMMARY**

As a chief petty officer, you may be called upon to investigate routine mishaps because of your unique knowledge and leadership. You should be objective in trying to determine the cause of the mishap and not overlook the obvious. The injury of a person is not a mishap, but the result of a mishap. Most mishaps are the result of human error or an environmental condition at the time of the mishap.

The Navy's safety program is designed to enhance operational readiness. Operational readiness is enhanced by a reduction in the number of deaths and injuries to personnel and losses and damage to material because of mishaps. Ensuring every person in your division follows general safety guidelines in the conduct of everyday division business is an important part of the safety program.

Survival training is an important part of the shipboard training program. You should be aware of the various types of survival training required by the Navy.

On large ships, a departmental damage control chief petty officer is usually assigned. He or she trains and qualifies the division damage control petty officers within the department and assists the ship's damage control assistant as required. On smaller ships, the department and division leading chief petty officers ensure the division damage control petty officers are qualified and maintain a high degree of damage control readiness.

## REFERENCES

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# CHAPTER 9

## SECURITY

### LEARNING OBJECTIVES

Upon completion of this chapter, you should be able to do the following:

1. Recognize the Navy policy for training personnel in the content of the U.S. Navy Information and Personnel Security Program.
- 

Security violations discovered at various military and government establishments worldwide reveal a need to upgrade the security awareness of every service member. Consider the tragedies that have occurred to our diplomatic corps, military personnel, and other officials over the past several years. Many of these tragedies can be directly attributed to a lack of security, a lack of security education, or lax security measures. As you advance in rate, your knowledge of security measures and the security education of your personnel increasingly affect the security of your command.

This chapter begins with an explanation of the Naval Information and Personnel Security Program. It outlines the basic policies and security procedures involved in management of the program.

Next the chapter explains classified materials and the assignment of classified material designations. It covers the different types of restricted areas used to safeguard and store classified materials and the amount of security needed in each area. *Department of the Navy Information and Personnel Security Program Regulation* provides detailed procedures for the safeguarding and proper storage of classified materials.

The chapter concludes with discussions of personnel security clearances, access to classified materials, and automatic data processing (ADP) security. It explains the different types of clearances and the required investigations for each clearance. It also discusses the guidelines for

the Personnel Reliability Program. This program impacts on every command that is nuclear powered or has nuclear weapons capability. If the program is not properly administrated, it can have a devastating effect on the security of your command and its ability to perform its assigned mission. Remember—only YOU can be responsible for the security and protection of your country.

Although this chapter deals chiefly with the security of classified materials, you can apply the basic concepts to other areas to increase security within your command.

### THE DEPARTMENT OF THE NAVY INFORMATION AND PERSONNEL SECURITY PROGRAM

The Information and Personnel Security Program safeguards the disclosure of classified information and materials to unauthorized persons. The following persons must comply with the basic policies of this program:

- Navy and Marine Corps personnel (active-duty and Reserve)
- Other armed services members assigned to a Navy or Marine Corps unit or installation
- Civilian employees of the federal government, including employees of the Office of Personnel Management (OPM), as well as civilian contract employees

## BASIC POLICY

The Information and Personnel Security Program protects national security in two basic areas. First, it monitors security in the appointment or retention of Department of the Navy civilian employees. Second, it oversees security in the acceptance or retention of Navy or Marine Corps personnel. The program also ensures the national security when personnel are granted access to classified information or are assigned to other sensitive duties. Access to classified information is granted on a strict, need-to-know basis.

### Authority

The Secretary of the Navy is responsible for setting up and maintaining an Information Security Program and a Personnel Security Program. The Secretary of the Navy has made the Chief of Naval Operations responsible for information and personnel security. The Special Assistant for Naval Security and Investigative Matters who carries the Chief of Naval Operation (CNO) staff code OP-09N ensures the effectiveness of the security program. OP-09N also serves as the Commander, Naval Security and Investigative Command (COMNAVSECINVCOM). COMNAVSECINVCOM devises information and personnel security policies and procedures based on directives from higher authority and issues directives for the program. Under the Director of Naval Intelligence, CNO (OP-092), the Commander, Naval Intelligence Command, administers the sensitive compartmented information (SCI) system for the Navy.

The *Department of the Navy Information and Personnel Security Program Regulation*, OPNAVINST 5510.1H, contains COMNAVSECINVCOM guidelines. Those guidelines serve as the minimum requirements for management of the program. Commanding officers may impose more stringent requirements within their own commands. However, they may not establish requirements that are contradictory to OPNAVINST 5510.1H.

### Program Management

The National Security Council (NSC) provides overall policy guidance on information and personnel security. The Director, Information Security Oversight Office (ISOO), has responsibility for setting up and monitoring the security program for classified information. The ISOO

may request information or materials from the Department of the Navy when an organization needs that information to perform its functions.

The Office of Personnel Management prescribes the requirements (including investigations) for civilian government employment.

The Director of Central Intelligence (DCI) serves as the chairman of the National Foreign Intelligence Board. As chairman, the DCI issues instructions affecting intelligence policies and activities. These instructions are based on Director of Central Intelligence directives (DCIDs) or Director of Central Intelligence policy statements.

The Federal Bureau of Investigation (FBI) is the chief internal security agency of the federal government. It has jurisdiction over more than 170 different investigative matters, which include espionage, sabotage, treason, and other subversive activities. The Naval Investigative Service is the Department of the Navy's sole liaison with the FBI on internal security matters.

The CNO office (OP-09N) serves as the liaison about information and personnel security matters between the Department of the Navy and the Office of the Secretary of Defense. The CNO office also serves as the liaison between the Department of the Navy and other components of the Department of Defense and other federal agencies.

The following is a list of organizations with which OP-09N has a close security relationship:

Headquarters, Marine Corps, Naval Military Personnel Command and Naval Civilian Personnel Command in their responsibilities for administering personnel security

Naval Intelligence Command (NIC-04) in its responsibility for the management of the sensitive compartmented information (SCI)

Naval Security Group Command in its responsibility for the security and administration of SCI programs

The Commander, Naval Security and Investigative Command (COMNAVSECINVCOM), is responsible for the Department of the Navy's investigative, law enforcement, counterintelligence, and physical security policies and programs. (However, COMNAVSECINVCOM is not responsible for the physical protection of classified materials.) The Naval Investigative Service supports COMNAVSECINVCOM in these responsibilities.

## Command Security Procedures

If your command handles classified information, it prepares and keeps current written command security procedures. The procedures specify how the command is to accomplish the requirements of OPNAVINST 5510.1H.

The command's security procedures cover what will be done, who will do it, and who will supervise it. General statements, such as "Secret material will be accounted for using OPNAVINST 5510.1H," do not satisfy this requirement. The written procedures must be specific, based on the OPNAVINST 5510.1H requirements that apply to your command.

Your command may not be involved with all phases of the Information and Personnel Security program. However, all commands share some elements in the security of classified information. They all follow security procedures in the accounting and control, physical security, reproduction, and destruction of classified materials. All take security measures in granting and recording access to classified materials and the control of visitors to classified areas. All ensure the proper classification, marking, downgrading, and declassification of classified materials. In addition, all must provide security education.

## Responsibility for Compliance

The commanding officer is responsible for the effective management of the Department of the Navy Information and Personnel Security Program within the command. Every person, military or civilian, in the Navy and Marine Corps is responsible for obeying the *Department of the Navy Information and Personnel Security Program Regulation*, OPNAVINST 5510.1H.

## Command Management

Command security management, discussed in the following paragraphs, includes the following responsibilities

1. Designating a security manager
2. Designating a Top Secret control officer if the command handles Top Secret information
3. Designating an ADP security officer (or Information Systems security officer) if the command is involved in processing data in an automated system

4. Preparing written command security procedures
5. Preparing an emergency plan for the protection of classified materials
6. Reviewing and inspecting the effectiveness of the program in subordinate commands

## Security Manager

Each command in the Navy and Marine Corps eligible to receive classified information is required to designate a security manager. The command makes this appointment in writing.

The security manager position may be assigned as a full-time, part-time, or collateral duty. The person designated is an officer or a civilian employee, GS-11 or above, with sufficient authority and staff to manage the command program. The security manager is a U.S. citizen and has a satisfactory background investigation (BI). The rank and grade requirements are firm. Designation of enlisted personnel or civilians below the grade of GS-11 is not allowed unless a waiver is granted. Waiver of the rank and grade requirements is rarely granted. Requests for waiver of the BI requirements, pending completion of the investigation, are usually granted.

Commands must designate and identify the security manager by name to all members of the command. The security manager's name should appear on organization charts, telephone listings, rosters, and so forth. Where the security manager appears on the organization chart depends on the command organization. In the shipboard organization recommended in the *Standard Organization and Regulations of the U.S. Navy*, the security manager is the executive officer's assistant. The security manager is responsible to the commanding officer on matters of security but reports to the executive officer for the administration of the Information and Personnel Security Program. A clear-cut organization is extremely important for a collateral duty security manager.

The effectiveness of command management of the program depends on the importance the commanding officer gives it. One area of concern in security management is security manager tenure. Without a formal training program for security managers, on-the-job training must suffice. For a security manager to develop a high degree of expertise takes time.

The security manager is the command's principal adviser on information and personnel security. The security manager is responsible for the management of the program. That doesn't necessarily mean the security manager personally handles all the security duties. Many commands are organized to assign like duties to the same person. The personnel officer may handle personnel security, the training officer may be responsible for security education sessions, and so forth. Those persons assigned security duties could be senior to the security manager. However, the security manager should know what is going on in all areas of security within the command. Having this knowledge helps the security manager ensure the various pieces of the security program fit together properly. It also helps the security manager make sure those in the command who have security duties are kept abreast of policy changes and procedures. In addition, the security manager needs to know what is going on to help solve security problems. The job may involve close supervision, minor direction, or a combination of both. However the command is organized, the security manager is the key in developing and administering the command's Information and Personnel Security Program.

Effective management of the program requires the security manager to perform the following functions:

- Serve as the commanding officer's adviser and direct representative in matters pertaining to the security of classified information and personnel security
- Develop written command information and personnel security procedures and integrate emergency destruction bills with the emergency plan
- Formulate and coordinate a command security education program
- Ensure threats to security, compromises, and other security violations are reported, recorded, and investigated
- Ensure incidents falling under the investigative jurisdiction of the Naval Investigative Service (NIS) are immediately referred to the nearest NIS office
- Administer the command program for classification, declassification, and downgrading of classified information

- Coordinate the preparation of classification guides in the command
- Maintain liaison with the command public affairs officer concerning security review of information proposed for public release
- Set accounting and control requirements for classified materials, including receipt, distribution, inventory, reproduction, and disposition
- Coordinate, with the security officer, physical security measures for protection of classified materials
- Ensure electrical or electronic processing equipment meets the requirements for control of compromising emanations
- Ensure security control of classified visits to and from the command
- Ensure protection of classified information during visits to the command when the visitor is not authorized access to classified information
- Prepare recommendations for the release of classified information to foreign governments
- Ensure classified contracts with Department of Defense (DOD) contractors comply with the Industrial Security Program
- Ensure all personnel who handle classified information or are assigned to sensitive duties are appropriately cleared
- Ensure requests for personnel security investigations are properly prepared, submitted, and monitored
- Ensure access to classified information is limited to those with the need to know
- Ensure all personnel security investigations, clearances, and access to classified information are recorded
- Coordinate the command program for continuous evaluation of eligibility for access to classified information or assignment to sensitive duties

- Maintain liaison with the command special security officer concerning investigations, access to sensitive compartmented information (SCI), continuous evaluation of eligibility, and changes to information and personnel security policies and procedures
- Maintain control of all foreign travel reported by assigned personnel
- Coordinate with the command automatic data processing (ADP) officer and physical security officer on areas of mutual concern

### **Top Secret Control Officer**

Each command that handles Top Secret information designates, in writing, a Top Secret control officer (TSCO). The security manager may also be designated as the TSCO.

The person designated as TSCO is an officer; a chief petty officer; a senior noncommissioned officer (E-7, E-8, or E-9); or a civilian employee, GS-7 or above. The TSCO is a U.S. citizen with a final Top Secret clearance. Only a reliable person of mature judgment is chosen as TSCO. The TSCO should be completely familiar with the requirements for protection of Top Secret information

The TSCO is responsible to the security manager (if not the same person) for Top Secret materials in the command. This responsibility includes the receipt, custody, accounting for, and disposition of Top Secret materials.

The TSCO performs the following duties.

- Maintains a system of accountability for all Top Secret materials in the command. Records the source, downgrading, movement from one office to another, current custodian, and destruction or other disposition of the Top Secret materials.
- Keeps dissemination of Top Secret information to the absolute minimum necessary for proper planning or action. No "standard routing" of Top Secret materials is allowed in a command.
- Transmits Top Secret materials within the command by direct personal contact. The TSCO doesn't have to deliver the materials personally,

but the materials should be delivered directly to the person who will assume responsibility for them. Top Secret materials should never be dropped in an "in" basket.

- Maintains a continuous collection of signed receipts and disclosure records for all Top Secret materials. Person-to-person contact is mandatory for the receipting.
- Ensures physical inventories of Top Secret materials are conducted at least once annually.
- Maintains a current roster of persons within the command who are authorized access to Top Secret information. The TSCO should know who requires access and be able to assist the security manager in determining access granted by the command.

- Ensures all Top Secret materials are accounted for and properly transferred when custodians are relieved of their duties. This requirement applies to the subcustodians of the command as well as the TSCO.

### **Security Assistants**

Large commands often assign assistant security managers or departmental security coordinators. Too often, command security managers assume that by designating different levels of security managers in the command, they have discharged their responsibilities. Inspections of major commands have shown that the security manager of an element within a command is usually doing little more than classified material control. The size or complexity of the command may demand delegation. In such cases, command security managers should realize they are still responsible for the command's Information and Personnel Security Program as a whole. The command security manager should provide the guidance, coordination, and direction necessary to ensure all of the program is being administered effectively.

The assistant security manager is a U.S. citizen; an officer or an enlisted person, E-6 or above; or a civilian employee, GS-6 or above. The assistant security manager is designated in writing. The assistant security manager needs a background investigation only when authorized to issue security clearances (that is, sign the clearance

CERTIFICATE OF PERSONNEL SECURITY INVESTIGATION, CLEARANCE AND ACCESS  
OPNAV 5520/20 (Rev. 10-79) S/N 0107-LF-055-2101 (For Use, See OPNAVINST 5510.1)

PLEASE TYPE

Name <b>CHRISTMAS, MARY (N)</b>		Date of Birth <b>570415</b>	Place of Birth <b>PLYMOUTH, ENGLAND</b>	SSN <b>333-33-333</b>
Status <input type="checkbox"/> OFFICER <input checked="" type="checkbox"/> ENLISTED <input type="checkbox"/> CIVILIAN	Grade <b>YN1</b>	Service <b>USN</b>	Service Date <b>760510</b>	

Citizenship Verified  
☐ U S NATIVE ☒ U S NATURALIZED **750303/9246543**  
 (Certificate Number)  
☐ IMMIGRANT ALIEN ☐ PHILIPPINE NONIMMIGRANT ALIEN  
 (See Comments) Registration Number (See Comments)

PART II - RECORD OF INVESTIGATION							
TYPE	AGENCY	DATE	CASE CONTROL NO.	TYPE	AGENCY	DATE	CASE CONTROL NO.
ENTNAC	DIS	760612	N/A	SBI-PR	DIS	870817	871671330
BI	DIS	771018	772281452				
NAC	DIS	830228	N/A				
SBI	DIS	830709	831232175				

PART III - RECORD OF CLEARANCE				
DATE	CLEARANCE (Indicate Interim or Final)	BASIS/DATE	CERTIFYING COMMAND (Signature Typed Name and Command)	REMARKS
760620	Final Secret	ENTNAC/760612	<i>J. A. Doe</i> J. A. DOE XO SSC SAN DIEGO	
770724	Interim Top Secret	ENTNAC/760612	<i>J. R. Frost</i> J. R. FROST CO USS ARGO	BI Req 770724 Exp 780124
771030	<b>REVOKED</b> Final Top Secret	<b>BI/771018</b>	<i>J. R. Frost</i> J. R. FROST CO USS ARGO	See Comments
790328	Final Top Secret	BI/771018	<i>J. R. Frost</i> J. R. FROST CO USS ARGO	See Comments
830715	Final Top Secret	SBI/830709	<i>W. T. Door</i> W. T. DOOR XO USS SUNFISH	
870822	Final Top Secret	SBI PR/870817	<i>P. T. Boat</i> P. T. BOAT XO FICLANT	

DATE COMMENTS  
 910206 Clearance revoked per CO USS ARGO ltr ser 121 of 6 Feb 1991  
 910328 Clearance reinstated per COMNAVJLPERSCOM ltr NMPC-81/103 of 15 Mar 1991  
 910315 Satisfactory NAC completed 830228 for PRP Controlled billet

*W. T. Door*  
 W T DOOR  
 XO USS SUNFISH

Copy to (MIL Pers. only) NAVY - Commander Naval Military Personnel Command (NMPC 51) MARINE CORPS - Commandant of the Marine Corps (MSRB)

Figure 9-1.—Sample OPNAV Form 5520/20.

entry on the OPNAV Form 5520/20). Figure 9-1 shows a sample OPNAV Form 5520/20. Otherwise, the investigative and clearance requirements depend on the level of access to classified information needed.

Security clerks may be assigned without regard to rate or grade as long as they have the clearance needed for the access they will have.

Top Secret control assistants (TSCA) may be assigned as needed and are designated in writing. The TSCA is a U.S. citizen, E-5 or above, or a civilian employee, GS-5 or above who has a final Top Secret clearance. TSCAs may be authorized to take the following actions:

Sign courier receipts and transfer of custody receipts for Top Secret materials

Certify materials being transferred into Defense Courier Service and sign on behalf of the Top Secret control officer

Transmit Top Secret materials

Conduct required page checks of Top Secret documents

Top Secret couriers, or others who handle Top Secret materials, are not considered to be TSCAs. They must have a Top Secret clearance, an understanding of the importance of the materials, and familiarity with the procedures for handling Top Secret materials. No grade or rate restrictions apply to Top Secret couriers.

**AUTOMATED DATA PROCESSING (ADP) SECURITY OFFICER**—Each command involved in processing data in an automated system designates an ADP security officer.

The ADP security officer is responsible to the security manager for the protection of classified information being processed in the automated system. The ADP security officer is responsible to the physical security officer for the protection of personnel, equipment, and related resources.

**SPECIAL SECURITY OFFICER.**—Certain commands in the Department of the Navy are accredited for and authorized to receive, process, and store sensitive compartmented information (SCI). These commands have a designated sensitive compartmented information facility (SCIF). A special security officer (SSO) is responsible for the operation of that SCIF and the security, control, and use of SCI. The SSO

is an officer or a civilian employee, GS-9 or above. All matters relating to SCI or SSO requirements are referred to SSO.

For additional information on commands authorized to receive, process, and store SCI materials, consult OPNAVINST 5510.1H.

## Security Education

Each command that handles classified information establishes and maintains an active security education program to instruct all personnel in security policies and procedures.

Commands need a security education program to teach the proper way to protect classified information from hostile threats. The purpose of this program is to ensure we understand the need to protect classified information and know how to safeguard it. The goal is to develop fundamental habits of security to the point that we automatically exercise proper discretion. Once we develop the proper habits, the security of classified information becomes a natural element of every task.

COMNAVSECINVCOM (OP-09N) is responsible for policy guidance, education requirements, and source support for the security education program. The development of security education materials for use in the Navy or Marine Corps should be coordinated with OP-09N. You do not have to coordinate development with OP-09N if you are preparing the materials for use in your command program. OP-09N reviews any curriculum material being prepared for a formal training environment to make sure current policies and procedures are being taught.

Training commands indoctrinate personnel entering the Navy and Marine Corps about classified information. They indoctrinate new members to ensure they have a basic understanding of what is meant by classified information and why and how it is protected. Civilians being employed by the Department of Defense for the first time also receive this basic indoctrination.

The security manager is responsible to the commanding officer for security education. As a supervisor you must identify the security requirements for your work center functions. Once you do that, ensure your personnel are familiar with those requirements. Make on-the-job training an essential part of command security education.

Provide security education to all personnel, whether they have access to classified information or not. Provide more extensive education for

those who do have access. Tailor your education efforts to meet the needs of the command.

In developing your command security education program, provide the minimum briefing requirements. Make sure the program does not evolve into a system of meeting formal requirements without achieving the real goals. For instance, giving the same lecture or showing the same film every year would satisfy the requirement for an annual refresher briefing. However, it would not enhance security awareness.

The objective of the overall program is to advise personnel of the following facts about security:

1. The adverse effects to the national security that could result from unauthorized disclosure of classified information; their personal, moral, and legal obligation to protect classified information within their knowledge, possession, or control
2. Their responsibility to adhere to those standards of conduct required by persons holding positions of trust and to avoid personal behavior that could render them ineligible for access to classified information or assignment to sensitive duties
3. Their obligation to notify their supervisor or command security manager of a potentially serious security violation by someone who has access to classified information or is assigned to sensitive duties
4. The requirement of supervisors to continuously evaluate the eligibility of personnel for access to classified information or assignment to sensitive duties
5. The principles, criteria, and procedures for classification, downgrading, declassification, marking, control and accountability, storage, destruction, and transmission of classified information and materials; the strict prohibitions against the improper use and abuse of the classified system
6. The procedures for challenging classification decisions they believe to be improper
7. The security requirements of their particular assignments
8. How to determine, before disseminating classified information, that the prospective recipient has been authorized access by competent authority, needs the information to perform his or her official duties, and can properly protect (store) the information
9. The strict prohibition against discussing classified information over an unsecured telephone or in any manner that may permit interception by unauthorized persons
10. The techniques employed by foreign intelligence activities in attempting to obtain classified information
11. The penalties for engaging in espionage activities and for mishandling classified information or materials
12. Their obligation to report counterintelligence activities as outlined in chapter 5 of OPNAVINST 5510.1H

**BASIC SECURITY EDUCATION.**—All persons attend basic security education indoctrination or orientation classes after their initial entry into the service. The indoctrination classes are designed to give every person in the Navy a basic understanding of classified materials and how and why this information should be protected. Orientation training is designed for those persons who will have access to classified material. The following guidelines are the minimum requirements for basic security education:

1. Indoctrination in basic principles of security upon entering the Navy
2. Orientation of those persons who will have access to classified information at the time of their duty assignment
3. On-the-job training in specific requirements for the duties assigned
4. Annual refresher briefings for those who have access to classified information
5. Special briefings as circumstances dictate
6. Debriefing each time a security termination statement is executed
7. Counterespionage briefings once every 2 years for those who have access to information classified Secret or above

When you indoctrinate personnel, teach them to take the following security precautions:

1. Protect information essential to the national security from disclosure to unauthorized persons
2. Mark all classified materials to show the level of classification
3. Allow access to classified information only to officially and specifically authorized persons

4. Store and use classified material only in secure areas, protect it during transfer from one area (or command) to another, and destroy it only by authorized means
5. Report any breach of security
6. Report any contact with citizens of Communist-controlled or hostile countries
7. Report any attempt by an unauthorized person to solicit classified information

Make sure each person who will have access to classified information receives orientation and signs a nondisclosure agreement. Provide the orientation and have the person sign the statement as soon as possible after reporting aboard or before their assignment to duties involving access to classified information.

The timing and format for orientation will vary, depending on the size of the command. However, having persons certify that they have "read and understand" the provisions of security matters is not adequate orientation. Describe the command security organization and identify the security manager by name. Give personnel enough information to make them realize they are an essential link in the security structure of the command. Make sure you tell new members about any special security precautions for your command. For instance, if your command has foreign national students or personnel in exchange programs, alert new members to the restrictions on access by foreign nationals. If your command has a coded badge system, explain the significance of the different codes.

The security orientation should fit the command and the person receiving it. Place more emphasis on security procedures when a new member has not had previous experience with handling classified information.

#### **CONTINUING SECURITY EDUCATION.—**

Once personnel have received the basic security education training, make sure they take part in a continuing security education training program. Guarding against security compromises and other violations is vital to our nation's security. The various programs that protect our security include on-the-job training, refresher and special briefings, and debriefings.

**On-The-Job Training.**—Your personnel need to know the security procedures required for the

duties they perform. On-the-job training is the phase of security education in which personnel learn to apply specific security procedures.

Compromised reports often show that breaches of security are caused by supervisors who assume subordinates know what they are supposed to do. Examples include assigning people to mail rooms without training them in the preparation and transmission of classified material or designating a Top Secret control officer without reviewing control requirements. Allowing subordinates to learn by the trial-and-error method risks security as much as assuming they know how to protect classified information.

**Refresher Briefings.**—Once a year, make sure all personnel who have access to classified information receive a refresher briefing. The refresher briefing should enhance security awareness—it should not rehash the basics or be a repeat of the same program year after year.

Once every 2 years, an NIS agent should give a counterespionage briefing to those persons who have access to materials classified as Secret or above. The security manager is responsible for arranging the briefing with the local NIS office.

Arrange for various types of special briefings as needed. They could include briefings on foreign travel, the North Atlantic Treaty Organization (NATO), and single integrated operational plan—extremely sensitive information and sensitive compartmented information.

**Debriefings.**—Persons who have had access to classified information should receive a debriefing at the following times:

1. Before termination of active military service or civilian employment or temporary separation for a period of 60 days or more, including sabbaticals and leave without pay
2. At the conclusion of an access period, when a Limited Access Authorization has been granted
3. When the person's security clearance is revoked for cause
4. When a person's security clearance is administratively withdrawn

**SECURITY TERMINATION STATEMENT**

OPNAV 5811/14 (REV 7-78)  
 6/N 0107 LF-085-1171

*Enter name and address of appropriate Naval or  
 Marine Corps activity obtaining statement*

Chief of Naval Operations

(Op-09B21)

Washington, DC 20350

1 I HEREBY CERTIFY that I have conformed to the directives contained in the Information Security Program Regulation (OPNAV Instruction 5510 1), and the Communications Security Material System Manual (CMS-4) in that I have returned to the Department of the Navy all classified material which I have in my possession

2 I FURTHER CERTIFY that I no longer have any material containing classified information in my possession.

3. I shall not hereafter communicate or transmit classified information orally or in writing to any unauthorized person or agency. I understand that the burden is upon me to ascertain whether or not information is classified and agree to obtain the decision of the Chief of Naval Operations or his authorized representative on such matters prior to disclosing information which is or may be classified

4. I will report to the Federal Bureau of Investigation or to competent naval authorities without delay any incident wherein an attempt is made by an unauthorized person to solicit classified information

5. I, James Keene RUSSELL, have been informed and am aware that Title 18 U.S.C., Sections 793-799, as amended and the Internal Security Act of 1950 prescribe severe penalties for unlawfully divulging information affecting the National Defense. I certify that I have read and understand appendix F of the Information Security Program Regulation OPNAV Instruction 5510 1. I have been informed and am aware that certain categories of Reserve and Retired personnel on inactive duty can be recalled to duty under the pertinent provisions of law relating to each class for trial by court-martial for unlawful disclosure of information. I have been informed and am aware that the making of a willfully false statement herein renders me subject to trial therefor, as provided by Title 18 U.S.C. 1001

6. I have/have not received an oral debriefing

SIGNATURE OF WITNESS

Jon T. Boate

TYPE OR PRINT NAME OF WITNESS  
JON T. BOATE

SIGNATURE OF EMPLOYEE OR MEMBER OF NAVAL OR  
 MARINE CORPS SERVICE (Fill in first middle and last name  
 If military indicate rank or rate. If civilian indicate grade.)

Mary (N) Christmas

DATE

841018

B-14781

Figure 9-2.—Security Termination Statement.

Members are also debriefed and required to sign a Security Termination Statement (fig. 9-2) if they inadvertently gain access to information they aren't qualified to receive.

The debriefing should clearly stress the following security precautions:

1. Personnel are to return all classified materials in their possession.
2. Personnel are no longer eligible for access to classified information.
3. Personnel may never divulge classified information, orally or in writing, to any unauthorized person or in judicial, quasi-judicial, or administrative proceedings without first receiving written permission from OP-09N.
4. Personnel may receive severe penalties for disclosure.
5. Personnel are to report to NIS any attempt by an unauthorized person to solicit classified information. (Any attempts are reported to the FBI or nearest DOD component if personnel are no longer affiliated with the Department of the Navy.)

When a clearance is being revoked, a person occasionally may refuse to sign the Security Termination Statement during the debriefing. If that happens, stress that the refusal to sign doesn't change the person's obligation to protect classified information from unauthorized disclosure. Send a copy of the termination statement, which shows that the person refused to sign the statement, to OP-09

## COMPROMISE AND OTHER SECURITY VIOLATIONS

Two types of security violations occur. One involves the compromise or possible compromise of classified information. The other involves a violation of security regulations, but does not involve a compromise.

Compromise is the disclosure of classified information to a person who is not authorized access to that information. The unauthorized disclosure may have occurred knowingly, willfully, or through negligence. Conclusive evidence that classified information has been disclosed to an unauthorized person confirms the existence of a compromise.

## Discovery of Compromise

If you discover a compromise of classified material, you should regain custody of the material, if possible, and give it the proper protection. Then notify NIS, who may begin an investigation independent of command inquiries.

**PRELIMINARY INQUIRY.**—A preliminary inquiry will be conducted when classified information has been compromised or subjected to compromise. The inquiry should be completed quickly, usually within 2 or 3 days.

Every effort should be made to keep the inquiry *Unclassified*. The occurrence of a compromise does not necessarily require a classified inquiry.

The inquiry may reveal that the compromise presents a minimal risk. If you find no significant command security weaknesses, you do not have to take formal disciplinary action. In such cases, send the report of preliminary inquiry, by endorsement, to the next senior in the administrative chain and who has Top Secret classification authority.

**JUDGE ADVOCATE GENERAL (JAG) MANUAL INVESTIGATION.**—A *JAG Manual* investigation is an administrative investigation based on chapters II through VI of the *Manual of the Judge Advocate General*. The command having custodial responsibility for the material compromised convenes the investigation. The purpose of a *JAG Manual* investigation is to answer, in detail, questions about the *who, what, where, when, and why* of the security violation. The *JAG Manual* investigation gives the command an opportunity to make a critical review of its security posture.

## Other Security Violations

The commanding officer may act without reporting to higher authority on a violation of a security regulation not resulting in compromise or subjection to compromise. However, the commanding officer must ensure that type of security violation is investigated just as thoroughly as one resulting in a compromise because it shows a weakness within the security program. Commanding officers may decide if the occurrence of that security violation justifies some form of corrective action. The possibility of persons receiving disciplinary action for that type of violation is just as great as it is for a violation

## SECURITY DISCREPANCY NOTICE

OPNAV 5511/51 (1-40) S/N 0107-4.F-055-5555 (This form replaces OPNAV 5511/51:22 and 24 which are obsolete)

FROM

Chief of Naval Operations, Washington, DC 20350

DATE

16 Aug 1989

REF. Your ltr ser 553 of 18 Aug 1983

(Insert ref. (a))

D OPNAVINST 5510.1 SERIES

ENCL

TO

Commanding Officer  
USS NEVERSAIL  
FPO San Francisco 94035

(Note - This form may be mailed  
in a window envelope)

SAMPLE

1 Reference (a) has been found to be inconsistent with or in contravention of reference (b) for the reason(s) checked below

2 If applicable, corrective action should be taken and where this involves changing classification, all holders of reference (a) should be notified accordingly

## IMPROPER TRANSMITTAL PACKAGING

<input checked="" type="checkbox"/>	SENT VIA NON-REGISTERED/ NON-CERTIFIED MAIL	<input type="checkbox"/>	CLASSIFICATION NOT MARKED ON INNER CONTAINER	<input type="checkbox"/>	RECEIVED IN POOR CONDITION, COMPROMISE IMPOSSIBLE
<input checked="" type="checkbox"/>	SENT IN SINGLE CONTAINER	<input checked="" type="checkbox"/>	NO RETURN RECEIPT	<input type="checkbox"/>	ADDRESSED IMPROPERLY
<input type="checkbox"/>	MARKINGS ON OUTER CONTAINER DIVULGE CLASSIF OF CONTENTS	<input type="checkbox"/>	INADEQUATE WRAPPING, NOT SECURELY WRAPPED OR PROTECTED	<input type="checkbox"/>	OTHER (Specify)

## CLASSIFICATION

<input type="checkbox"/>	BASIC CLASSIFICATION QUESTIONABLE	<input type="checkbox"/>	DOCUMENT SUBJECT MARKING	<input type="checkbox"/>	CHART, MAP OR DRAWING MARKING
<input type="checkbox"/>	OVERALL MARKINGS	<input type="checkbox"/>	DOCUMENT TRANSMITTAL MARKING	<input type="checkbox"/>	PHOTO, FILM OR RECORDING MARKING
<input type="checkbox"/>	PARAGRAPH/COMPONENT MARKINGS	<input type="checkbox"/>	MESSAGE MARKING	<input type="checkbox"/>	OTHER (Specify)

## DOWNGRADING/DECLASSIFICATION

<input type="checkbox"/>	CLASSIFICATION AUTHORITY NOT IDENTIFIED OR UNAUTHORIZED	<input type="checkbox"/>	DOWNGRADING DATA INCORRECT	<input type="checkbox"/>	DECLASSIFICATION (OR REVIEW) DATA OMITTED OR INCORRECT
--------------------------	--	--------------------------	-------------------------------	--------------------------	---

OTHER (Specify)

Fold here with face of form in view

COMMENTS (Continue on reverse if necessary)

COPY TO: OP 009D (WITH ADDRESSEE DELETED)

SIGNATURE

Jack R. Frost

TITLE

Security Manager, Op-009P

Figure 9-3.—Security Discrepancy Notice, OPNAV Form 5511/51.

leading to compromise. Those responsible for security violations may be reevaluated to determine if they should remain eligible for access to classified information.

If you find assigned personnel have left unattended and unlocked a container in which classified material is stored, report the incident immediately to the senior duty officer. The container will be guarded until the duty officer arrives at the location of the unlocked container. The duty officer will then inspect the classified material involved, lock the container, and make a security violation report to the commanding officer. If a possibility of compromise exists, the person responsible for the container is required to return to the ship or station to make a complete inventory of its contents.

When you receive classified material that shows improper handling, but no compromise has occurred, promptly notify the commanding officer of the sending activity. Improper handling of classified material, such as improper mailing, shipping, wrapping, addressing, packaging, or transmitting, can result in security discrepancies. The following are other security discrepancies that can result from improper handling

- Sending classified information in single containers
- Failing to enclose a return receipt for Secret material
- Sending Confidential information by First Class instead of Registered mail to FPO/APO addresses
- Failing to mark the classification on the inner container

Report such violations on a Security Discrepancy Notice, OPNAV Form 5511/51 (fig 9-3).

Classified material that enters a foreign postal system because of improper addressing or other mishandling is considered to have been compromised. Similarly, when containers of classified information are damaged in shipment to the extent that the contents are exposed, the possibility of compromise again exists. Both of these two situations require a preliminary inquiry and a *JAG Manual* investigation.

## **COUNTERINTELLIGENCE MATTERS TO BE REPORTED TO THE NAVAL INVESTIGATIVE SERVICE**

Certain matters affecting national security must be reported to the NIS so that appropriate counterintelligence action can be taken. All Department of the Navy employees, military and civilian, should report to their commanding officers or to the nearest command any suspicious activities. Suspicious activities include possible acts of sabotage, espionage, or compromise or contact with citizens of hostile countries. Personnel should report such activities if they involve themselves, their dependents, or others, whether or not they have access to classified information. Commanding officers should, in turn, notify the nearest Naval Investigative Service office immediately.

### **Sabotage, Espionage, or Deliberate Compromise**

Report all available information about possible acts of sabotage, espionage, deliberate compromise, or other subversive activities to your commanding officer. If you are away from your command, report such activities to the most readily available command. Your commanding officer or the command to which you report the activity will, in turn, notify the nearest NIS office. If you cannot immediately contact NIS when sabotage, espionage, or a person's immediate flight or defection threatens security, notify COMNAVSECINVCOM by classified IMMEDIATE message. List the CNO as an information addressee

Notify the servicing NIS office immediately of any requests, through other than official channels, for classified defense information. Report anyone who makes such requests, regardless of nationality. Report any requests for information from any person believed to be in contact with a foreign intelligence service. Also report requests for information such as the following:

- Names, duties, personal data, and characterizations of Department of the Navy personnel
- Technical orders, manuals, regulations, base directories, personnel rosters; and unit manning tables
- The designation, strength, mission, combat posture, and development of ships, aircraft, and weapons systems

NIS will advise you of any further action to take and will coordinate other actions with members of the U.S. intelligence community. In remote locations where you cannot contact NIS quickly enough, you may contact field representatives of other U.S. intelligence agencies.

### **Contacts With Citizens of Hostile Countries**

Report to NIS any form of contact, intentional or otherwise, with any citizen of a Communist-controlled country or country hostile to the United States. The term *contact* means any form of encounter, association, or communication with any citizen of a Communist-controlled or hostile country. That includes contacts in person or by radio, telephone, letter, or other forms of communication for social, official, private, or any other reasons. Report to NIS any visits you make to embassies, consulates, trade or press offices, or other official establishments of these countries.

Contacts and other associations with citizens of Communist-controlled or hostile countries are not, in themselves, wrong, against regulations, or illegal. However, report the contact immediately so that NIS may evaluate the contacts to protect the Department of the Navy from hostile intelligence activities. This policy applies to all Department of the Navy personnel, military and civilian, including active-duty Reserve personnel.

### **Suicide or Attempted Suicide**

If a Department of the Navy member who had access to classified information commits suicide or attempts suicide, the commanding officer immediately reports the incident to the nearest NIS office. The commanding officer forwards all available information about the incident by the quickest means possible. COMNAVSECINVCOM receives an information copy of the report. The report explains the nature and extent of the classified information to which the individual had access.

The NIS office receiving the report coordinates the investigation with the commanding officer. If NIS assumes immediate investigative responsibility, command investigative efforts are subordinate to those of the NIS.

### **Unauthorized Absence**

When a Department of the Navy member who had access to classified information is in an

unauthorized absence status, the commanding officer conducts an inquiry. The purpose of the inquiry is to determine if the member's activities, behavior, or associations may be detrimental to the interest of national security. If such indications exist, the commanding officer reports all available information by the quickest means to the nearest NIS office. COMNAVSECINVCOM also receives a report of the information.

### **Foreign Travel**

Persons with a security clearance should report to their security office before performing any foreign travel. Failure to report trips abroad or frequent foreign travel should be investigated. Any unusual circumstances involving foreign travel should be referred to the nearest NIS office and to COMNAVSECINVCOM.

## **CLASSIFIED MATERIAL**

Classified material is any product containing information that could adversely affect the national security if disclosed without authorization. Although the Department of the Navy must prevent the release of classified material to the public, it releases as much information about its activities as possible. Therefore, commands only assign security classifications to information as needed to protect national security.

When assigning security classifications, avoid classifying information unnecessarily or giving it a higher than necessary classification. If you have reasonable doubt about the need to classify information, safeguard it as if it were classified at least Confidential. You may then request that the original classification authority (OCA) determine if the classification should be changed. The same logic applies to the appropriate level of classification. Safeguard the information as if it were classified at the higher level until the OCA can make a determination. The OCA should make a determination within 30 days.

## **CLASSIFICATION DESIGNATIONS**

Information that requires protection against unauthorized disclosure in the interest of national security receives one of three classification designations: Top Secret, Secret, or Confidential. Do not use the markings For Official Use Only and Limited Official Use to identify classified information. Neither use modifying terms, such

as *sensitive*, in conjunction with authorized classification designations.

Designate a Top Secret classification to information that could cause grave damage to our national security upon unauthorized disclosure, such as the following:

- Armed hostilities against the United States or its allies
- Disruption of foreign relations vitally affecting the national security
- Compromise of vital national defense plans or complex cryptologic and communications intelligence systems
- Disclosure of sensitive intelligence operations
- Disclosure of scientific or technological developments vital to national security

Designate a Secret classification to information that could cause serious damage to the national security upon unauthorized disclosure, such as the following

- Disruption of foreign relations significantly affecting national security
- Significant impairment of a program or policy directly related to the national security
- Disclosure of significant military plans or intelligence operations
- Compromise of significant scientific or technological developments relating to national security

Designate a Confidential classification to information that could cause damage to our national security upon unauthorized disclosure, such as the following:

- Information indicating strength of ground, air, and naval forces
- Performance characteristics, test data, design, and production data on U.S. weapons systems and munitions

## DECLASSIFICATION AND DOWNGRADING AUTHORITY

The following officials are authorized to declassify and downgrade information:

1. The Secretary of the Navy with respect to all information over which the Department of the Navy exercises final classification authority
2. The original classification authority as designated by the Secretary of the Navy, a successor to the original classification authority, or a supervisor of either
3. The Deputies or Chiefs of Staff to those original classification authorities for classified information in their functional areas

Only the Secretary of Defense or the Secretary of the Navy may decide that specific information no longer requires the protection originally assigned. That is, they may change the original classification, which will change the classification guidance for that information. Do not confuse the authority to downgrade or declassify with the authority for administrative responsibility. The person who has administrative responsibility may downgrade or declassify information as directed by a classification guide, the continued protection guidelines, or the declassification instructions on a document

### Systematic Declassification Review

As classified (permanently valuable) records in the National Archives become 30 years old, the Archivist of the United States reviews them for declassification

The CNO, OP-09N, specifies which 30-year old Department of the Navy information requires continued protection. In coordination with Navy and Marine Corps commands, OP-09N has developed continued protection guidelines for the Archivist. The Director, Naval Historical Center, designates experienced personnel to guide and help the Archivist. These personnel guide and assist National Archives employees in identifying and separating documents that require continued classification. The Director, Naval Historical Center, refers doubtful cases to the command having original classification jurisdiction.

The CNO, OP-09N, reviews the continued protection guidelines at least every 5 years. This review identifies additional information becoming

30 years old that requires continued protection and confirms the continued need for classification of previously identified information.

Certain categories of information transferred to the National Archives are exempted from 30-year systematic review; instead, the Archivist reviews the information when it becomes 50 years old. These categories consist of intelligence (including special activities), intelligence sources or methods created after 1945, and cryptology created after 1945. The Archivist reviews restricted data and formerly restricted data upon request. Foreign government information is declassified only if specified or agreed to by the foreign entity.

Special procedures developed by the Director, National Security Agency, in consultation with affected agencies, govern the systematic review and declassification of classified cryptologic information. The Secretary of Defense must approve the procedures.

#### **Mandatory Declassification Review**

A United States citizen or immigrant alien, a federal agency, or a state or local government may request a review for declassification of Department of the Navy information. Information originated by the following people are exempt from these provisions for mandatory review for declassification:

- The President
- The White House Staff
- Committees, commissions, or boards appointed by the President
- Others specifically providing advice and counsel to the President

#### **UPGRADING**

Original classification authorities may upgrade classified information, within their functional areas of interest, only under the following conditions:

1. When all known holders of the information can be promptly notified
2. When all known holders of the information are authorized access to the higher level of classification or the information can be retrieved from the known holders not authorized access to the higher level of classification

Original classification authorities may classify information previously determined to be Unclassified only under the following conditions:

1. When all known holders of the information can be promptly notified
2. When all known holders of the information are authorized access to the higher level of classification or the information can be retrieved from the known holders not authorized access to the higher level of classification
3. When control of the information has not been lost
4. When loss of control can still be prevented

Make every effort to retrieve, safeguard, and properly mark and control properly classified information that has been underclassified or disseminated as Unclassified.

Notices are not issued to downgrade or declassify materials that contain instructions for downgrading or declassification. All original addressees will be notified of changes that shorten or lengthen the duration of classification of the material or that change the classification level. A notice assigning classification to currently Unclassified information will be classified Confidential, unless the notice itself contains information at a higher level. You may use OPNAV Form 5511-11 (fig. 9-4) for that purpose.

#### **REPRODUCTION OF CLASSIFIED MATERIAL**

Because so many reproduction machines are used throughout the Navy, the problems associated with reproducing classified material have continued to grow. Therefore, commanding officers control the number of copies of classified documents reproduced within their commands. Personnel must have proper authorization to reproduce classified material on reproduction machines. The originating activity or higher authority must consent to the reproduction of Top Secret information.

Commanding officers designate certain officials to approve all requests to reproduce Top Secret and Secret materials. These officials, in turn, ensure that security procedures for the reproduction of classified materials are followed and that such reproduction is kept to a minimum. Make certain your personnel are aware of the requirement for approval by one of these designated officials before reproducing classified material.


<b>NOTICE OF CHANGE IN CLASSIFICATION</b> OPNAV FORM 5511-11 (4-58) 0107 766 1000 <small>DATE OF ORIGIN OF HIGHER AUTHORITY HAVING JURISDICTION OVER SECURITY MATTER</small>	
<b>Chief of Naval Operations (Op-009)</b>	<b>DATE</b> <b>1 August 1987</b>
<small>ADDRESSEES OF ORIGINAL DISTRIBUTION (Use Standard Navy Distribution List numbers if applicable. Additional sheets may be attached if more space is necessary.)</small> <b>Commander, Naval Air Systems Command (AIR-720)</b> <b>Commander, Naval Sea Systems Command (SEA-09B2)</b>	
	
<small>The material described below has been changed in classification as indicated. Addressees shall change the classification of copies held.</small>	
<input type="checkbox"/> RECLASSIFIED TO _____	<input checked="" type="checkbox"/> UNCLASSIFIED TO <b>CONFIDENTIAL</b>
<input type="checkbox"/> DECLASSIFIED	
<small>DATE AND DESCRIPTION OF MATERIAL (Should identification which would cause this form to be classified.)</small> <b>CNO Memorandum Op-009P33/S12345 of 21 July 1986, Subj: Security Classification Guidance for Experimental Aircraft Programs</b>	
<small>SIGNATURE OF AUTHORIZING OFFICIAL</small>	<b>Jack R Frost</b>
<b>CNO (Op-009P33)</b>	

Figure 9-4.—Notice of Change in Classification, OPNAV Form 5511-11.

Where possible, two people will be involved in reproducing classified material to ensure the positive control and safeguard of reproduced material

Commands maintain records for 2 years to show the number and distribution of all reproductions of classified documents, including the following

Top Secret documents

Classified documents covered by special access programs distributed outside the originating agency

Secret and Confidential documents marked with special dissemination and reproduction limitations

Your command should designate specific areas and equipment for the reproduction of classified material. Prominently display signs on or near the equipment to advise users of the designation. For example, a sign may read, **THIS MACHINE MAY BE USED FOR REPRODUCTION OF MATERIAL UP TO SECRET. REPRODUCTION**

**MUST BE APPROVED BY** (designated official). If you have machines that are not authorized for the reproduction of classified material, post a warning notice, such as the following, on the machine: **THIS MACHINE IS LIMITED TO REPRODUCTION OF UNCLASSIFIED MATERIAL**. Make sure a designated official can easily see the area to ensure the authorization of copies and reproduction of the minimum number of copies.

Some equipment may use extremely sensitive reproduction paper. Use and store the paper in a manner to prevent image transfer of classified information.

When reproducing material, make sure it shows the classification and other special markings that appear on the original material. Double check all reproduced material, and remark reproduced copies that have unclear markings.

Safeguard all samples, waste, or overruns resulting from the reproduction process according to the classification of the information involved. Destroy the materials promptly as classified waste. Check areas surrounding reproduction equipment for classified materials that may have been left on nearby desks or thrown in wastebaskets. If the

machine malfunctions, check to see that all copies have been removed. After reproducing classified materials, make sure the original and all copies have been removed from the machine.

### **SAFEGUARDING OF CLASSIFIED MATERIAL**

Classified information or material is used only where facilities or conditions are adequate to prevent unauthorized persons from gaining access to it. The exact nature of security requirements depends on a thorough security evaluation of local conditions and circumstances. Chapter 13 of OP-NAVINST 5510.1H contains specific details for safeguarding classified material.

#### **Responsibility for Safeguarding**

If you have possession of classified material, safeguard it at all times. Lock it in appropriate

security equipment whenever the material is not in use. Follow procedures that ensure unauthorized persons cannot gain access to the classified information by sight, sound, or other means. Never discuss classified information with or in the presence of unauthorized persons.

When working with Top Secret information, observe the two-person rule. That rule requires two persons to handle Top Secret material. However, the rule allows one person to be left alone with the material for a short period of time during normal working hours.

Remove classified material from a designated office or working area ONLY in the performance of your official duties. Remove classified material from designated areas to work on it during off-duty hours, or for any other purpose, ONLY with specific approval of the Chief of Naval Operations (OP-09N) or appropriate authority. You will

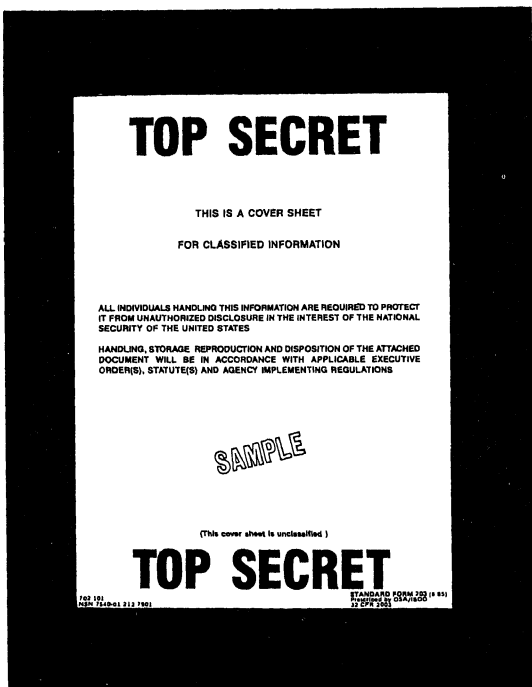


Figure 9-5.—Classified material cover sheet, Standard Form 703.

receive approval only when an overriding need occurs and you can provide the required physical safeguards, including *approved* storage. Your command must keep a list of the materials removed. You will receive approval for the removal of classified material overnight only when you have access to a secure government or cleared industrial facility for storage.

### Restricted Areas

Different areas within a command may have varying degrees of security importance depending on the purpose and nature of the work, information, and materials concerned. In some cases, the entire area of a command may have a uniform degree of security importance. In others, differences in degree of security importance will require further segregation of certain activities. In locations where a language other than English

is prevalent, display Restricted Area warning notices in English and the local language.

Do not designate controlled areas, limited areas, and exclusion areas in any way that outwardly notes their relative sensitivity. Identify any such area only as a "Restricted Area."

### Care During Working Hours

During working hours, take the following precautions to prevent access to classified information by unauthorized persons:

- After removing classified documents from storage, keep them under constant surveillance and face down or covered when not in use. Classified material cover sheets, shown in figures 9-5, 9-6, and 9-7, are the only forms authorized for covering classified documents.

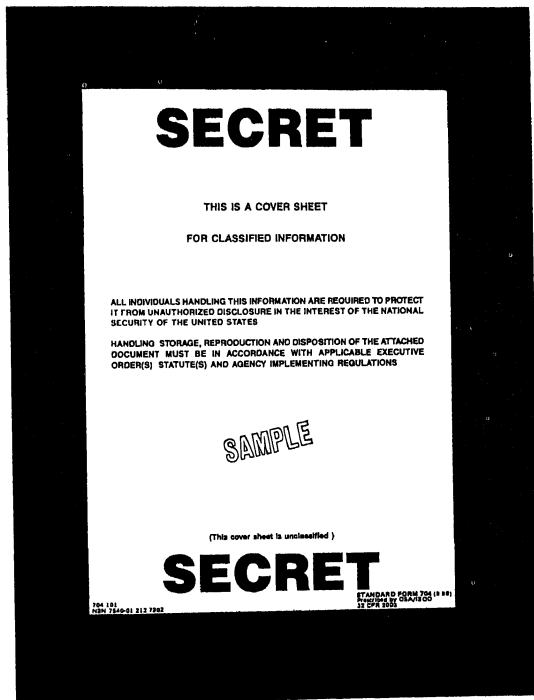


Figure 9-6.—Classified material cover sheet, Standard Form 704.

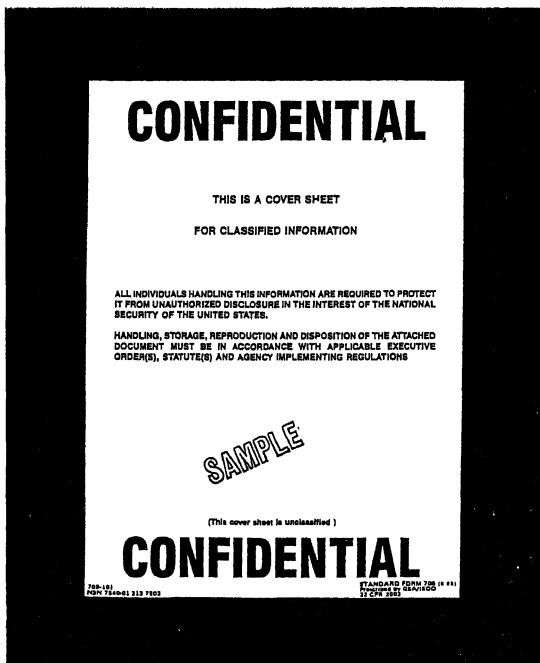


Figure 9-7.—Classified material cover sheet, Standard Form 705.

- Discuss classified information only if unauthorized persons cannot overhear the discussion. Take particular care and alert fellow workers when visitors, repair persons, or maintenance workers are present.

- Protect preliminary drafts, carbon sheets, plates, stencils, stenographic notes, worksheets, and all similar items containing classified information. Either destroy them using an approved method or give them the same classification and safeguarding as the original classified material held.

- Protect typewriter ribbons used in typing classified material the same as for the highest level of classification for which they have been used. Also, destroy them as classified waste. Typewriter ribbons are exempt from destruction under the following conditions:

1. If the upper and lower sections have been cycled through the machine five times in the course of regular typing

2. If it is a fabric ribbon, even if it is later used for classified work
3. If it remains stationary in the typewriter for at least five consecutive impressions

Place an Activity Security Checklist, Standard Form 701 (fig. 9-8), in security areas to help you safeguard classified material.

### Storage Requirements

Commanding officers are responsible for the safeguarding of all classified information within their commands. That includes ensuring classified material is either in use or under the personal observation of cleared persons as authorized by OPNAVINST 5510.1H.

Figure 9-9 charts the requirements for protecting classified material in storage. Report any weakness or deficiency in equipment being used to store or safeguard classified material to OP-09N. Fully describe the problem and how you discovered it.

[illegible]

	SHORE INSTALLATIONS			SHIPS			AIRCRAFT		
	TS <sup>1</sup>	S	C	TS <sup>1</sup>	S	C	TS <sup>1</sup>	S	C
CLASS "A" VAULT	X	X	X						
CLASS "B" VAULT	X <sup>2</sup>	X	X						
STRONGROOM	X <sup>3</sup>	X <sup>2</sup>	X	X <sup>5</sup>	X <sup>2</sup>	X	X <sup>5</sup>	X <sup>2</sup>	X
GSA CONTAINER	X <sup>2</sup>	X	X	X <sup>2</sup>	X	X	X <sup>2</sup>	X <sup>4</sup>	X
LOCK BAR CABINET		X <sup>2</sup>	X <sup>4</sup>		X <sup>2</sup>	X		X <sup>2</sup>	X <sup>4</sup>

1 Must be located in buildings, ships, and aircraft which are under U S Government control (see definition below), otherwise, must be protected by an alarm system or be guarded during non-working hours by U S. citizens  
2 Surrounding area locked and access to area controlled by U S personnel  
3 Container alarmed or guarded by U S personnel  
4 Surrounding area locked  
5 Area alarmed and patrolled every hour by U.S. personnel

Storing valuables, such as money, jewels, precious metals, or narcotics, in the same container with classified material risks the security of that material. Someone could open or steal the container, resulting in the compromise of the information contained in it.

For identification purposes in the event of emergency destruction or evacuation, place a number or symbol indicating its priority on the exterior of each security container. However, conceal the level of classification of the material stored inside the container.

Store Top Secret material in a safe-type steel filing container having a built-in, three-position, dial-type combination lock approved by the General Services Administration. Alarm systems or guards who are U.S. citizens protect storage containers, vaults, or vault-type rooms located in areas or structures controlled by another country.

The physical barrier of an alarmed area used for the storage of Top Secret material prevents the following: (1) secret removal of the material and (2) observation that would result in the compromise of the material. The physical barrier is such that a forcible attack will leave evidence of an attempted entry into the room or area. The alarm system immediately notifies the U.S. security force of an attempted entry.

**COMBINATION LOCKS AND KEYS.**—The development of the manipulation-proof (MP) and the manipulation-resistive (MR) locks in 1950 advanced security awareness to the point that secure locking devices now exist. A security filing cabinet, vault, or strong room is now fitted with a lock that resists opening of the container by unauthorized persons. This lock is a vast improvement over the antiquated methods of safeguarding before the MP and MR locks were developed.

The MP and MR locks have more advanced features designed to protect against expert manipulation than those found in conventional locks. These locks have at least 100 graduations on the dial, which provide a choice of at least 1 million combinations. A three-tumbler lock prevents them from being unlocked when more than one full dial graduation occurs on either side of the proper number for each tumbler wheel.

Federal specifications governing the manufacture of security filing cabinets and security vault doors require that units be equipped with a top-reading changeable combination lock. The top-reading design replaced the front-reading design to provide increased protection against

someone getting the combination by secretly watching it being used.

To help ensure the effectiveness of combination locks, comply with the following security requirements:

1. Allow only those persons who are cleared for the highest level of classified material stored in the container to change combinations.
2. Give the combination only to those persons whose official duties demand access to the container.
3. Change combinations when placed in use, at least annually thereafter, and when any of the following occurs:
  - a. An individual knowing the combination no longer requires access.
  - b. The combination has been compromised or the security container has been discovered unlocked and unattended.
  - c. The container (with built-in lock) or the padlock is taken out of service. (When that happens, reset built-in combination locks to the standard combination 50-25-50.) Reset combination padlocks to the standard combination 10-20-30.
4. In selecting combination numbers, do not use multiples of 5; simple ascending or descending arithmetical series; and personal data, such as birth dates and social security numbers.
5. Do not use the same combination for more than one container in any one area.
6. In setting a combination, use numbers that are widely separated by dividing the dial into three parts and using a number from each third as one of the combination numbers.
7. To prevent a lockout, have two different people try a new combination before closing the container or vault door.
8. Assign a security classification to the combination equal to the highest category of classified materials authorized to be stored in the vault or container.
9. Seal records of combinations in the envelope provided with Standard Form 700 (fig. 9-10). Give the envelope to the security manager, duty officer, communication officer, or any other person designated by the command to keep the records on file.

When key-operated, high-security padlocks are used, control the keys at the highest level of classification of the material being protected.

SECURITY CONTAINER INFORMATION INSTRUCTIONS		1 AREA OR POST (If required)	2 BUILDING (If required)	3 ROOM NO
1 COMPLETE PART 1 AND PART 2A (ON END OF FLAP)  2 DETACH PART 1 AND ATTACH TO INSIDE OF CONTAINER  3 MARK PARTS 2 AND 2A WITH THE HIGHEST CLASSIFICATION STORED IN THIS CONTAINER  4 DETACH PART 2A AND INSERT IN ENVELOPE  5 SEE PRIVACY ACT STATEMENT ON REVERSE  10 Immediately notify one of the following persons if the container is found open and unattended		4 ACTIVITY (DIVISION BRANCH SECTION OR OFFICE)  6 MFG & TYPE CONTAINER  8 NAME AND SIGNATURE OF PERSON MAKING CHANGE		5. CONTAINER NO  9 DATE COMBINATION CHANGED
EMPLOYEE NAME    HOME ADDRESS    HOME PHONE    				
1. ATTACH TO INSIDE OF CONTAINER		700-101 NSN 7540-01-214-5372		STANDARD FORM 700 (8-85) Prescribed by GSA/1500 32 CFR 2003

**WARNING**  
 WHEN COMBINATION ON PART 2A IS ENCLOSED, THIS ENVELOPE MUST BE SAFEGUARDED IN ACCORDANCE WITH APPROPRIATE SECURITY REQUIREMENTS.

CONTAINER NUMBER \_\_\_\_\_

COMBINATION \_\_\_\_\_

\_\_\_\_\_ turns to the (Right) (Left) stop at \_\_\_\_\_

\_\_\_\_\_ turns to the (Right) (Left) stop at \_\_\_\_\_

\_\_\_\_\_ turns to the (Right) (Left) stop at \_\_\_\_\_

\_\_\_\_\_ turns to the (Right) (Left) stop at \_\_\_\_\_

DETACH HERE

**WARNING**

THIS COPY CONTAINS CLASSIFIED INFORMATION WHEN COMBINATION IS ENTERED

UNCLASSIFIED UPON CHANGE OF COMBINATION

2A INSERT IN ENVELOPE.

SF 700 (8-85)  
Prescribed by  
GSA/1500  
32 CFR 2003

Figure 9-10.—Security Container Information, Standard Form 700.

Electrically actuated locks (for example, cipher and magnetic strip card locks) do not afford the degree of protection required for classified information. The Navy forbids the use of this type of lock to safeguard classified material.

Rotate the dial of combination locks at least four complete turns in the same direction when securing safes, files, or cabinets. Most locks, if their dial has been given only a quick twist.

After each entry and closure of a security container, document the time opened and time closed. Enter these times and other required information on a Security Container Check Sheet, Standard Form 702 (fig. 9-11).

Destroy classified material using the method authorized by the instruction governing disposal of Navy and Marine Corps records.

Destroy all classified materials as soon as they are no longer required. Early disposal of

702 101  
NNN 7348-01 215 7904

9-24

unnecessary classified materials can assist in reducing security costs, preparing for emergency situations, and protecting classified materials.

### Destruction Procedures

Destruction of classified material may be done only by authorized means and by two persons cleared to the level of the material being destroyed.

Give classified material awaiting destruction the same protection you would give the information it contains. Safeguard burn bags at the same level of classification of the materials the burn bags contain until they are completely destroyed.

Record the destruction of Top Secret and Secret materials on the Classified Material Destruction Report, OPNAV Form 5511/12 (fig. 9-12). You may record the destruction on any

<b>CLASSIFIED MATERIAL DESTRUCTION REPORT</b> OPNAV 5511/12 (REV. 8-78) S/N 0107-LF-056-1100				CLASSIFICATION (Indicate when file or other identification is classified) <b>UNCLASSIFIED</b>		
TO: <b>Commanding Officer, USS NEVERSAIL</b> FROM (Name and address of activity) <b>Top Secret Control Officer</b>						
The classified material described below has been destroyed in accordance with regulations established by the Department of the Navy Information Security Program Regulation, OPNAV INSTRUCTION 5510.1C				The purpose of this form is to provide activities with a record of destruction of classified material. Also, copies may be utilized for reports to activities originating material, where such reports are necessary.		
DESCRIPTION OF MATERIAL						
SERIAL/DATE	ORIGINATOR	DATE	COPY NO.	LOS/ROUTE/ SHEET NO.	ENCLOSURES (IDENT & NO.)	TOTAL NO. PAGES
00052	CINCPACFLT letter	08/16/87	1	4		4
<div style="transform: rotate(-30deg); font-size: 48px; opacity: 0.5;">SAMPLE</div>						
OFFICER OR INDIVIDUAL AUTHORIZING DESTRUCTION (Signature, Rank/Rate/Grade) <i>Don T Boate</i> DON T BOATE GS-12 TSCO			DATE OF DESTRUCTION 28 Aug 1990			
WITNESSES (List name, rank/grade, and signature) <i>Jack R Frost</i> JACK R. FROST GS-7			WITNESSES (List name, rank/grade, and signature) <i>Don T Boate</i> DON T BOATE GS-12 TSCO			

Figure 9-12.—Classified Material Destruction Report, OPNAV Form 5511/12.

other form that includes complete identification of the materials, the number of copies destroyed, and the date of destruction. The two officials responsible for destroying Top Secret and Secret materials will sign and date the record of destruction. Retain records of destruction for a period of 2 years. An originator's statement that a document may be destroyed without report doesn't change the requirement to record the destruction. It only means you don't have to tell the originator the document was destroyed.

The two witnessing officials will sign the record of destruction when Top Secret and Secret materials are actually placed in the burn bag. When the burn bags are destroyed, appropriately cleared personnel should again witness the destruction.

Appropriately cleared personnel may destroy Confidential material and classified waste by an authorized means without recording destruction.

Those personnel destroying classified material do not have to meet any rank, rate, or grade requirements. However, personnel must be familiar with the regulations and procedures for safeguarding classified information.

A command operating a central destruction facility posts the security responsibilities of users and assumes any unassigned responsibilities itself. The central destruction facility may deny users the right to watch the complete destruction of the material or to check the residue after it is burned. In such cases, the central destruction facility is responsible for assuring destruction is complete and reconstruction is impossible.

## **Methods of Destruction**

Burning has been the traditional method for destroying classified material because destruction is complete and disposition of the remaining ash is relatively simple. The remaining ash need only be stirred to ensure destruction is complete and reconstruction is impossible. However, precautions have to be taken to prevent material or burning portions from being carried away by the wind. Incinerators can destroy most types of classified material, but the Clean Air Act has restricted burning. In some areas, state or municipal legislation prohibits burning.

Shredding machines are relatively quiet and require little skill to operate. Shredders vary in their degree of effectiveness, depending on the mechanical condition of the equipment.

The Navy allows the use of two types of shredding machines: the strip shredder and the

cross-cut shredder. The strip shredder cuts the material into strips no greater than 1/32 inch in width. The cross-cut shredding machine reduces the material to shreds.

You may shred intermixed classified and Unclassified materials to prevent recognition or reconstruction of the classified material. You may use the strip shredder to destroy classified material and then handle the residue as Unclassified waste except when destroying communications security (COMSEC) and SCI materials.

Pulverizers and disintegrators designed for destroying classified material are usually too noisy and dusty for office use. The Navy authorizes the use of some pulverizers and disintegrators to destroy photographs, film, typewriter ribbons, glass slides, and offset printing plates. It authorizes the use of others only to destroy paper products.

Use wet-process pulpers to destroy classified water-soluble material. Since pulpers only destroy paper products, make sure you remove staples, paper clips, and other fasteners to prevent clogging of the security screen.

Destroy microform by using an incinerator (where permitted by local environmental regulations) or a shredder approved for the destruction of classified microform. Aboard ships at sea, you may also destroy classified microform (except COMSEC and SCI materials) by cross-cut shredding provided the shreds are no larger than 3/64 inch by 1/2 inch. You may then throw the shreds into the ship's wake.

Unclassified messages and materials, including formerly classified materials that have been declassified, do not require the assurance of complete destruction. Normally, do not destroy Unclassified materials by the classified material destruction system. However, the commanding officer or higher authority sometimes may approve its use because of unusual security factors or for efficiency. One exception is the destruction of Unclassified naval nuclear propulsion information (NNPI). If possible, destroy these materials by methods authorized for destruction of classified material. If not possible, use an alternative that provides a reasonable degree of control during and after disposal. Specific methods depend on local conditions, but the method used should protect against unauthorized recovery of naval nuclear propulsion information (NNPI).

Contrary to widespread opinion, no security policy exists requiring destruction of Unclassified messages (except NNPI). Some telecommunications

and major distribution centers have high volumes of classified and Unclassified message traffic. These centers may find that destroying all messages and intermingled files as if all the information were classified is more efficient. Some units, such as commands located in foreign countries or ships operating in foreign waters, need to take extra precautions in disposing of accumulated message traffic. However, the method of destruction is left to the discretion of the commanding officer. The commanding officer may authorize these messages to be torn into small pieces (as with For Official Use Only [FOUO] material), defaced before discarding, or destroyed by classified destruction methods.

### **Emergency Destruction**

All commands located outside the United States and its territories, those capable of deploying, and those holding COMSEC materials must address the destruction of classified information in their command emergency plan. They must conduct emergency destruction drills periodically to ensure personnel are familiar with the plan and associated equipment.

Commands should take into account the following factors to develop practical, reasonable emergency destruction plans:

- Volume, level, and sensitivity of the classified material held by the activity
- Proximity to hostile or potentially hostile countries with unstable governments and the degree of defense the command and readily available supporting forces can provide
- Flight schedules or ship deployments in the proximity of hostile or potentially hostile environments
- Size and armament of land-based commands and ships
- Sensitivity of operational assignment (Contingency planning should also be considered.)
- Potential for aggressive action by hostile forces

The emergency destruction plan emphasizes the procedures and methods of destruction

personnel must use. It clearly identifies the exact location of all classified materials. It includes priorities for destruction, billet designations of personnel responsible for the destruction, and the prescribed place and method of the destruction. If more than one activity will use a particular destruction site or piece of equipment, the plan sets priorities for its use. The equipment used for routine destruction of classified material is a major factor in the development of the emergency destruction plan.

The plan names the person who will make the decision to begin emergency destruction. It also specifies how this decision will be communicated to all other elements or units maintaining classified information.

The plan also assigns priorities for emergency evacuation and destruction of classified holdings. Priorities are based on the potential effect on the national security should holdings fall into hostile hands.

The priorities for emergency destruction are as follows:

- Priority One—Top Secret material
- Priority Two—Secret material
- Priority Three—Confidential material

### **Reporting Emergency Destruction**

Accurate information about the extent of emergency destruction of classified material is second in importance only to the destruction of the material itself. Report the facts surrounding the destruction to the Chief of Naval Operations (OP-09N) and other interested commands by the quickest means available. Include the following information in the report:

1. The items of classified material that may not have been destroyed
2. The items presumed to have been destroyed
3. The items of classified material destroyed
4. The method of destruction

Additionally, write a statement describing the character of the records and when and where the destruction was accomplished. Submit the statement to the Commander, Naval Computer and Telecommunications Command, within 6 months after destruction.

Commands include the requirement for reporting of emergency destruction of classified material as part of their emergency plan.

## **DISSEMINATION OF CLASSIFIED MATERIAL**

Commanding officers establish procedures to distribute classified material originated or received by commands. They also establish procedures to limit outside distribution to those activities having a need to know and to reflect any restrictions imposed by originators or higher authority.

Review material prepared for public release to ensure it reveals no classified or sensitive Unclassified information. SECNAVINST 5720.44A outlines the policies and procedures governing public release of official information and the conditions under which a security review is required. Certain categories of information require review and clearance by the Assistant Secretary of Defense (Public Affairs).

### **Top Secret Material**

Top Secret material originated within DOD can be disseminated outside DOD only if the originating department or agency gives its consent.

### **Secret and Confidential Material**

Originators may prohibit the dissemination of their classified materials. Otherwise, you may disseminate Secret and Confidential materials to other departments and agencies of the executive branch of the government.

### **Naval Nuclear Propulsion Information**

The protection of all strategically important information is essential to national security. However, because nuclear-powered ships and the naval nuclear propulsion program are major deterrents to war, information about them is a target for hostile intelligence organizations. Therefore, commands need to maintain rigid control over all information about these subjects, whether classified or Unclassified. Unnecessary dissemination, cursory security review, and careless handling of this information help hostile agents in their collection of intelligence.

## **MARKING OF CLASSIFIED MATERIAL**

Classified markings and annotations or other means of identifying classified information reveal the classification level and degree of protection required for material. They also show the level of protection required for extracted and paraphrased information and help to determine the need to downgrade and declassify material. Therefore, mark all classified materials in a manner that leaves no doubt about the level of classification assigned. Use classification markings that leave no doubt as to which parts contain or reveal classified information or how long the materials should remain classified. Take any additional measures needed to protect the materials.

The word *document*, as used in this text, means publications, correspondence (such as military and business letters and memoranda), and other printed or written products (such as charts and maps). Although you can easily mark most documents, you may have difficulty marking materials such as hardware, recordings, and photographs. If the makeup of materials prevent you from marking on them, affix the markings by means of a tag, sticker, decal, or similar device. Affix classification markings so that they are obvious on documents and other types of materials, including containers for storage.

Classified marking and application requirements vary, depending on the kind of material to which you must apply the markings. Include the following basic markings on all classified materials

- The identity of the original classification authority
- The agency or office of origin
- The overall classification
- The declassification date or event or the notation "Originating Agency's Determination Required (OADR)"
- Any downgrading instructions

The overall classification is the highest classification of any information contained in or

revealed by the material. Overall markings consist of the following:

The overall classification of the material

The most restrictive downgrading/declassification instructions applied to any information in the material

All warning notices or intelligence control markings that apply to information in the material

The classification authority, the office of origin, downgrading and declassification instructions, warning notices, and intelligence control markings are referred to as associated markings.

Figures' 9-13 through 9-18 show the correct marking procedures for classified material. Table 9-1 is a detailed marking guide for publications and correspondence.

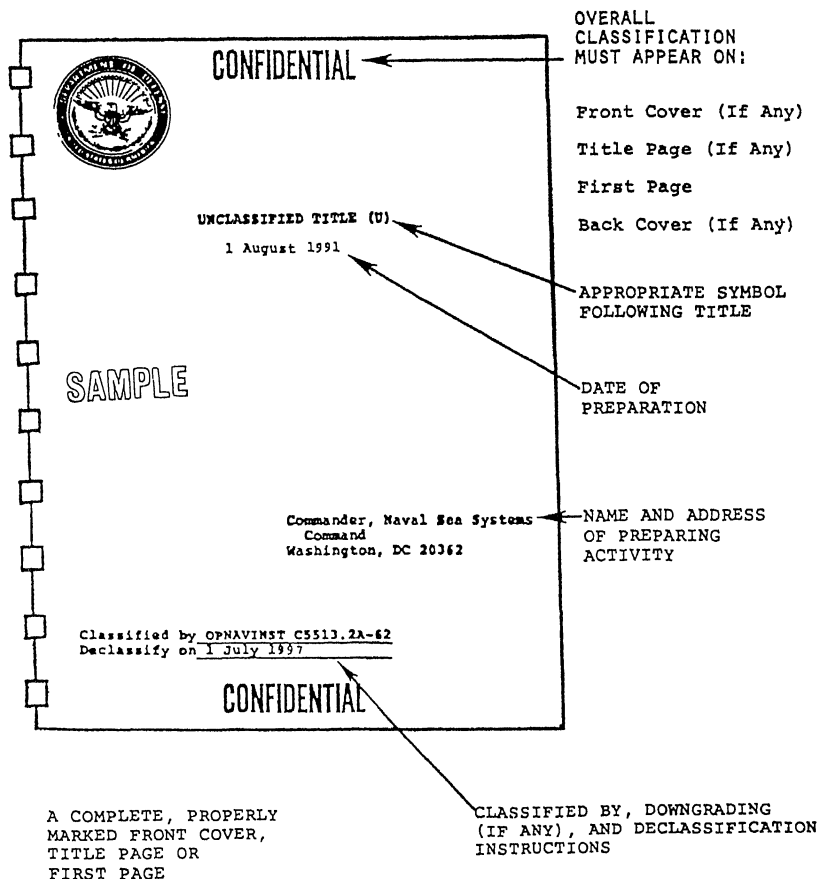


Figure 9-13.—Cover of a publication.

SECRET

CHAPTER 5

FIRST ORDER HEADING (U)

Second Order Heading (U)

SAMPLE

A. (U) Summary

1. (S) The classification marking of headings is illustrated above. Headings are marked according to their own classification and do not reflect the overall classification of the material which follows. Once a heading is identified by some means, it becomes a paragraph for marking purposes, e.g., "A. (U) Summary", as shown.

2. (U) The classification marking of paragraphs and subparagraphs is the same as for naval letter format. The classification of the lead-in portion of a paragraph is shown at the beginning of the paragraph even though a subparagraph may reveal a higher or lower level of classification

a. (C) Subdivisions need not be marked if they do not express a complete thought. As an example, the following do not express complete thoughts:

- (1) Systematized digital projection
- (2) Compatible organizational flexibility
- (3) Synchronized transitional contingency

b. (U) Individual paragraphs are classified according to the information they reveal.

SECRET

Figure 9-14.—Interior pages of a document.

**Table 9-1.—Marking Guide for Publications and Correspondence**

MARKINGS	PLACEMENT
<b>*Classification - TOP SECRET, SECRET OR CONFIDENTIAL</b>	On publications, stamped or printed TOP and BOTTOM center in letters larger than other print, preferably in red, on the front cover (if any), on the title page (if any), on the first page, and on the outside of the back cover (if any) If the back cover is not used, classified text may not appear on the back of the last page Mark interior pages of publications either with the overall classification or with the classification of the individual page. When exercising the individual page option in cases of front and back printing, both sides of the page must be marked with the highest classification of either side. The side with the lower classification should be indicated at the bottom with the statement "This page is Unclassified" or other classification as appropriate.  On the first page of correspondence, typed at the upper left in addition to the markings described above.
<b>*CLASSIFIED BY (Insert)</b> Insert the identity of the original classification authority or derivative classification source. (OPNAVINST 5510 1G lists original classification authorities, classification guides or other classified documents are derivative sources ) If more than one source is used, insert the phrase "Multiple Sources" and list all sources on the official record copy.	Once at lower left on the covering (first) page.
<b>*DECLASSIFY ON (Insert date or event or "OADR")</b> Insert the declassification date or event If neither of these can be predetermined, insert the notation "Originating Agency's Determination Required" or its abbreviation "OADR"	Once at lower left on the covering (first) page beneath the "CLASSIFIED BY" line
<b>DOWNGRADE TO (Insert classification level) ON (Insert date or event)</b>	Once at lower left on the covering (first) page above the "DECLASSIFY ON" line
<b>(UNCLASSIFIED) (SECRET) or (CONFIDENTIAL) UPON REMOVAL OF ENCLOSURE</b> (or specific enclosure, as applicable) This marking is required on letters or documents of transmittal which cover enclosures of a higher classification	Top left following classification marking (the classification marking must equal the highest classification of any enclosure being transmitted) Mark second and succeeding pages at TOP and BOTTOM center with the classification of the transmittal letter or document itself, if it is unclassified, no marking is required
<b>*AGENCY AND OFFICE OF ORIGIN</b> (required if not otherwise evident)	Once on the covering (first) page
<b>DATE OF ORIGIN</b>	Once on the covering (first) page
<b>(U), (C), (S), (TS)</b> (required for all paragraphs, subparagraphs, titles, headings, captions, etc ) Naval nuclear propulsion information (NNPI) will <u>not</u> be portion marked	Before each paragraph or portion (except NNPI), and before each caption <u>After</u> headings and titles (Use unclassified titles whenever possible to facilitate indexing )
<b>*CLASSIFIED BY DOE-DOD classification guide CG-RN-1 dated January 1997</b> DECLASSIFY ON Originating Agency's Determination Required This document shall not be used as a derivative classification source (required marking for NNPI)	Once on covering (first) page

**\*Required Marking**

SECRET

CHAPTER 5

FIRST ORDER HEADING (U)

Second Order Heading (U)

SAMPLE

A. (U) Summary

1. (S) The classification marking of headings is illustrated above. Headings are marked according to their own classification and do not reflect the overall classification of the material which follows. Once a heading is identified by some means, it becomes a paragraph for marking purposes, e.g., "A. (U) Summary", as shown.

2. (U) The classification marking of paragraphs and subparagraphs is the same as for naval letter format. The classification of the lead-in portion of a paragraph is shown at the beginning of the paragraph even though a subparagraph may reveal a higher or lower level of classification

a. (C) Subdivisions need not be marked if they do not express a complete thought. As an example, the following do not express complete thoughts:

- (1) Systematized digital projection
- (2) Compatible organizational flexibility
- (3) Synchronized transitional contingency

b. (U) Individual paragraphs are classified according to the information they reveal.

SECRET

Figure 9-14.—Interior pages of a document.

**Table 9-1.—Marking Guide for Publications and Correspondence**

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<b>*CLASSIFIED BY (Insert)</b> Insert the identity of the original classification authority or derivative classification source. (OPNAVINST 5510 1G lists original classification authorities, classification guides or other classified documents are derivative sources.) If more than one source is used, insert the phrase "Multiple Sources" and list all sources on the official record copy	Once at lower left on the covering (first) page.
<b>*DECLASSIFY ON (Insert date or event or "OADR")</b> Insert the declassification date or event. If neither of these can be predetermined, insert the notation "Originating Agency's Determination Required" or its abbreviation "OADR"	Once at lower left on the covering (first) page beneath the "CLASSIFIED BY" line
<b>DOWNGRADE TO (Insert classification level)</b> <b>ON (Insert date or event)</b>	Once at lower left on the covering (first) page above the "DECLASSIFY ON" line
<b>(UNCLASSIFIED) (SECRET) or (CONFIDENTIAL) UPON REMOVAL OF ENCLOSURE</b> (or specific enclosure, as applicable) This marking is required on letters or documents of transmittal which cover enclosures of a higher classification	Top left following classification marking (the classification marking must equal the highest classification of any enclosure being transmitted) Mark second and succeeding pages at TOP and BOTTOM center with the classification of the transmittal letter or document itself, if it is unclassified, no marking is required
<b>*AGENCY AND OFFICE OF ORIGIN</b> (required if not otherwise evident)	Once on the covering (first) page
<b>DATE OF ORIGIN</b>	Once on the covering (first) page.
<b>(U), (C), (S), (TS)</b> (required for all paragraphs, subparagraphs, titles, headings, captions, etc.) Naval nuclear propulsion information (NNPI) <u>will not</u> be portion marked.	Before each paragraph or portion (except NNPI), and before each caption <u>After</u> headings and titles (Use unclassified titles whenever possible to facilitate indexing)
<b>*CLASSIFIED BY DOE-DOD classification guide CG-RN-1 dated January 1997. DECLASSIFY ON</b> Originating Agency's Determination Required. This document shall not be used as a derivative classification source (required marking for NNPI).	Once on covering (first) page.

**\*Required Marking**

**Table 9-1.—Marking Guide for Publications and Correspondence—Continued**

WARNING NOTICES	PLACEMENT
<p align="center"><b>A</b></p> <p><b>RESTRICTED DATA</b> This material contains Restricted Data as defined in the Atomic Energy Act 1954. Unauthorized disclosure subject to administrative and criminal sanctions (Full notice), <b>RESTRICTED DATA</b> (Short form), <b>RD</b> (Abbreviated form).</p> <p><b>FORMERLY RESTRICTED DATA</b> Unauthorized disclosure subject to administrative and criminal sanctions. Handle as Restricted Data in foreign dissemination. Section 144b, Atomic Energy Act of 1954 (Full notice), <b>FORMERLY RESTRICTED DATA</b> (Short form), <b>FRD</b> (Abbreviated form)</p>	<p align="center"><b>A</b></p> <p>Full notice at lower left on the covering (first page) beneath the "CLASSIFIED BY" line, in lieu of a "DECLASSIFY ON" line. Short form typed after classification at the top left on the first page of correspondence. Abbreviated form following portion marking classification symbol, e.g., (S-RD) or (S-FRD)</p>
<p align="center"><b>B</b></p> <p>Special Handling Required - Not Releasable to Foreign Nationals (Full notice) NOFORN (Short form) (May be applied to naval nuclear propulsion information (NNPI) only.) NOTE An abbreviated form is not used because NNPI is not portion marked</p> <p>Critical Nuclear Weapons Design Information DOD Directive 5210.2 applies (Full Notice), <b>CNWDI</b> (Short form), <b>(N)</b> (Abbreviated form)</p>	<p align="center"><b>B</b></p> <p>On publication, full notice at lower left on the covering (first page). On correspondence, full notice typed after the classification at upper left. Short form to identify tables, figures, charts, etc. Abbreviated form following the portion marking classification symbol, e.g., (S-RD) (N)</p>
<p align="center"><b>C</b></p> <p><b>COMSEC Material</b> - Access by contractor personnel restricted to U.S. citizens holding final Government clearance (Applied to COMSEC documents being released to contractors)</p> <p>Reproduction requires approval of originator or high DOD authority.</p> <p>Further dissemination only as directed by (insert name of activity) or higher DOD authority</p> <p>This document is subject to special export controls and each transmittal to foreign governments or foreign nationals may be only with prior approval of the Naval Sea Systems Command (May be applied only to classified or unclassified NNPI.)</p>	<p align="center"><b>C</b></p> <p>Once at bottom of covering (first) page</p>

\*Required Marking

**Table 9-1.—Marking Guide for Publications and Correspondence—Continued**

INTELLIGENCE CONTROL MARKINGS	PLACEMENT
WARNING NOTICE - INTELLIGENCE SOURCES OR METHODS INVOLVED (Full marking) WNINTEL (Short form), WN (Abbreviated form).	Full marking once at bottom center above classification marking on the front cover (if any), title page (if any) and first page of publication.
NOT RELEASABLE TO CONTRACTORS OR CONTRACTOR CONSULTANTS (Full marking), NO CONTRACT (Short form), NC (Abbreviated form)	Full marking typed on the first page of correspondence following the classification at upper left.
CAUTION - PROPRIETARY INFORMATION INVOLVED (Full marking), PROPIN (Short form), PR (Abbreviated form)	Short form at top or bottom center of applicable pages, and for message classification lines, identification of tables, figures, charts, etc.
NOT RELEASABLE TO FOREIGN NATIONS (Full marking, NOFORN (Short form), NF (Abbreviated form)	Abbreviated form following the classification designation in portion marking (e.g., (S-NC))
THIS INFORMATION HAS BEEN AUTHORIZED FOR RELEASE TO (Insert specified country(ies)) (Full marking), REL TO _____ (Short form), REL (Abbreviated form)	
DISSEMINATION AND EXTRACTION OF INFORMATION CONTROLLED BY ORIGINATOR (Full marking), ORCON (Short form), OC (Abbreviated form)	

## OVERALL AND PAGE MARKINGS FOR CORRESPONDENCE

Place the basic markings on the first page of all correspondence (fig 9-15). Type the overall classification on the first page in the upper left corner and stamp it at the top and bottom center. Place the classification authority and downgrading and declassification instructions in the lower left corner. Spell out warning notices after the typed classification in the upper left corner, except for Restricted Data or Formerly Restricted Data. Type "Restricted Data" or "Formerly Restricted Data" after the classification in the upper left corner and the full warning notice in the lower left corner. Type the intelligence control markings after the classification in the upper left corner.

On the second and succeeding pages, stamp the classification on the top and bottom center. Use either the overall classification or the highest classification of information on that page. Examples of correspondence markings are shown in figures 9-15 and 9-16.

Mark major components of a document, which can be used independently, as individual documents. Examples are appendices and annexes to plans or operations orders. Always mark an enclosure to a letter of transmittal as an individual document.

## Subject and Titles

Whenever possible, use Unclassified subjects or titles of documents to simplify referencing the subject or title in Unclassified documents or indexes. If you need a classified subject to convey meaning, add an Unclassified short title for reference purposes. Mark subjects or titles with the appropriate parenthetical symbol immediately following the subject or title. The parenthetical symbols are (TS) for Top Secret, (S) for Secret, (C) for Confidential, (FOUO) for For Official Use Only, and (U) for Unclassified. When you include the subject or title of a classified document in the reference line, the enclosure line, or the body of a document, follow with a



**SECRET**  
DEPARTMENT OF THE NAVY  
OFFICE OF THE CHIEF OF NAVAL OPERATIONS  
WASHINGTON, D.C. 20390

5510 IN REPLY REFER TO  
Ser 009P/5123456  
1 August 1987

**SAMPLE**

**SECRET**

From: Chief of Naval Operations  
To: Recipients

Subj: PORTION MARKING (U)

1. (U) This is a sample of a fairly complex letter with multiple parts (paragraphs, subparagraphs, and a chart). It has been created for the purpose of demonstrating the proper method of applying portion classification markings in accordance with the requirements of OPNAVINST 5510.1G. In this sample, paragraph 1 in its totality contains Secret information, but the lines of the opening paragraph do not, as indicated by "U" precursory marking.

a. (S) In continuing the graphic illustration of the proper techniques of applying portion classification markings, this subparagraph of the sample document contains information classified Secret as indicated by the "S" precursory marking.

(1) (S) Again, this subparagraph contains information classified Secret.

(a) (C) Every part of a classified document is to have portion classification markings applied. The text in this subparagraph contains information classified Confidential.

1. (S) The text in this subparagraph contains information that is Secret. Bear in mind that the objective of portion classification marking is to eliminate doubt as to which portions of a document contain or reveal classified information.

a. (U) This part of the sample document is unclassified as indicated by the "U" precursory marking.

b. (C) This part of the sample document is classified Confidential as indicated by the "C" precursory marking.

2. (U) This part contains no classified information.

Classified by OPNAVINST C5513.3A-17  
Declassify on 1 Jan 1993

**SECRET**

Figure 9-15.—Naval letter.



**CONFIDENTIAL**  
DEPARTMENT OF THE NAVY  
OFFICE OF THE CHIEF OF NAVAL OPERATIONS  
WASHINGTON, D. C. 20354

5510 IN REPLY REFER TO  
Ser 009P/CL23456  
1 August 1991

CONFIDENTIAL

MEMORANDUM FOR RECIPIENTS

Subj: PORTION MARKING SPECIAL FORMATS (U)

1. (U) Mark documents in a manner that eliminates doubt as to which of its portions contains or reveals classified information.
2. (U) There may be occasions when style or format considerations cause an arrangement of words that, standing alone, would not constitute a complete sentence. Normally, such word groups can be revised so as to make a single sentence or paragraph. The following two paragraphs are the same but are arranged differently to illustrate how to apply portion marking.
3. (C) Components of the F-99 aircraft system include:
  - a. a signal processor;
  - b. an emitter module;
  - c. a high frequency receiver; and
  - d. a cryptographic module.
4. (C) Components of the F-99 aircraft system include a signal processor, an emitter module, a high frequency receiver, and a cryptographic module.
5. (U) Subdivisions of the format in 3 above need not be marked if those subdivisions do not constitute a complete sentence. In the stylized format illustrated, there can be no misunderstanding or doubt that everything would be Confidential when taken together.

F A BRUSH  
Head, Security Classification  
Management Branch  
Security Policy Division

SAMPLE

Classified by OPNAVINST 5513.5A-16  
Declassify on OADR

**CONFIDENTIAL**

Figure 9-16.—Memorandum.

similar subject or title classification (fig. 9-17).

### Portion Markings

Mark each portion (section, part, paragraph, or subparagraph) of a classified document to show its level of classification or the fact that it is Unclassified. These markings eliminate any doubt as to which portions of a document contain or reveal information requiring protection. However, be sure you consider each portion for

classification on the basis of its content and its association with other information. Place the appropriate parenthetical symbol immediately following the portion letter or number. In the absence of letters or numbers, place the appropriate symbol immediately before the beginning of the portion.

When a major numbered or lettered paragraph and all of its subparagraphs are Unclassified, you don't need to mark each paragraph. Marking the lead-in paragraph with a (U) is sufficient.


		<b>CONFIDENTIAL</b> DEPARTMENT OF THE NAVY OFFICE OF THE CHIEF OF NAVAL OPERATIONS WASHINGTON, D.C. 20366	5510 IN COMPLIANCE WITH Sec 0092/CI23456 1 August 1991
CONFIDENTIAL--Unclassified upon removal of enclosures (1) and (3)			
From: Chief of Naval Operations		<b>SAMPLE</b>	
To: Commander, Naval Sea Systems Command			
Subj: SECURITY CLASSIFICATION MARKINGS			
Ref: (a) OPNAVINST 5510.1G (b) CNO Washington DC 012345Z Feb 82			
Encl: (1) NAVSEA Report 1410, The New Torpedo (U) (2) List of Attendees (3) NRL Report 1592, The Principles of Radar (U)			
<p>1. When titles or subjects of classified documents are included in the reference line, enclosure line or body of the letter, the classification of the title or subject follows, as shown on the enclosure line above. It is not necessary to show the classification of the reference or enclosure itself; however, each classified enclosure which must be removed before the letter of transmittal can be unclassified must be identified at the top, as shown.</p> <p>2. Only the first page of an unclassified letter of transmittal carries classification markings. There would be no downgrading and declassification instructions on a letter of transmittal which is itself unclassified. If the letter of transmittal contains classified information, it will carry the appropriate downgrading and declassification instructions for the information it contains.</p> <p>3. Intelligence control markings are typed out in full at the top, following the classification. If any enclosure contains Restricted Data, Formerly Restricted Data or Critical Nuclear Weapons Design Information, the words should be typed out after the classification at the top and the full warning notice placed at the bottom left. If the letter of transmittal contains information classified at the same level as the enclosure but does not, in itself, contain the information requiring the warning notice or intelligence control marking, words to the effect, "Warning notice (intelligence control marking) cancelled upon removal of enclosure (1)" should appear at the top.</p>			
JACK R. FROST By direction			
<b>CONFIDENTIAL</b>			

Figure 9-17.—Letter of transmittal.

Except in those cases where an intelligence source or method would be revealed, mark portions of United States documents containing foreign government information. Make sure the marking reflects the country or international organization of origin as well as the appropriate classification such as (NATO-S) or (UK-C).

In certain situations, parenthetical portion marking is impractical. In such cases, include on the face of the document a statement that identifies the exact information that is classified and the classification level assigned.

Mark the classification in full, not in an abbreviated form, on figures, tables, graphs, charts, photographs, and similar illustrations incorporated in classified documents. Ideally, you should center the classification marking just below the illustration. Special situations may dictate placement of the marking above or actually within the general area of the illustration. If the information requires a caption, place the abbreviated classification marking for the caption immediately before the text of the caption. When figure or table numbers identify the caption, place the abbreviated marking after the number and before the text.

### **Transmittals**

A transmittal document or endorsement carries the highest classification of the information it transmits. It also contains a statement showing the classification of the transmittal document. An example is an Unclassified letter that transmits a classification of the enclosure and the notation "Unclassified upon removal of enclosure." Also show on the transmittal document any warning notices, intelligence control markings, or special notations on enclosures. Include downgrading and declassification instructions only when the transmittal itself is classified. Otherwise, the notation that the transmittal is "Unclassified upon removal of the enclosure" is the only instruction needed. Figure 9-17 shows a sample of a letter of transmittal.

### **Electrically Transmitted Messages**

Mark classified messages at the top and bottom with the overall classification; also, portion mark as prescribed for other documents. You may use the automated system that prints a message to print the classification markings also, as long as the markings are legible.

Include the overall classification, spelled out, as the first item of information in the text of a classified message. Spell out the identification for Restricted Data, Formerly Restricted Data, or Critical Nuclear Weapons Design Information following the classification; but use the short form for intelligence control markings.

Show the date or event for declassification or the notation "Originating Agency's Determination Required" (fig. 9-18) on the last line of text of a classified, electrically transmitted message.

You may omit the downgrading or declassification annotation on messages containing Restricted Data or Formerly Restricted Data; however, show the basis of the classification on the originator's record copy.

Show the full marking on copies of messages not electrically transmitted (such as mail or courier copies).

### **Training or Testing Material**

Mark classified material used for training or testing purposes and handle as appropriate for that level of classification.

When Unclassified matter is used for training purposes, mark it with the following notation: "(insert the type of classification) for training, otherwise Unclassified." You may purposely mark incorrectly as classified any Unclassified material used to test automated communications systems. Annotate the material as "classified for test purposes only" and handle as Unclassified material.

### **Special Access Program Material**

When warranted, material containing information subject to the special access program receives additional marks. Mark special access program material as prescribed in directives, regulations, and instructions relating to approved special access programs. You may change or remove the markings only by direction of the authority responsible for the special access program concerned.

### **Nuclear Propulsion Information**

Classified naval nuclear propulsion information (NNPI) is exempt from the requirements for portion markings.

In documents containing both classified NNPI and other classified information, mark those portions containing classified information other

JOINT MESSAGEFORM				SECRET SECRET			
PAUSE		GTY MESSAGE TIME		MESSAGE NO.		PAGE NO.	
DATE TIME		MTH YR		Z/T		Z/T	
01-01				RR RR		SSSS	
MESSAGE HANDLING INSTRUCTIONS							
<p>FROM CNO WASHINGTON DC</p> <p>TO CINCPACFLT PEARL HARBOR HI</p> <p>SECRET //NO5510//</p> <p>SAMPLE CLASSIFIED MESSAGE {U}</p> <p>1. {S} CLASSIFIED MESSAGES WILL BE PARAGRAPH/SUBPARAGRAPH MARKED THE SAME AS NAVAL LETTERS.</p> <p>2. {U} A "CLASSIFIED BY" LINE IS NOT REQUIRED. THE LAST LINE WILL SHOW, IN ORDER, DOWNGRADING DATA IF APPROPRIATE, THE ABBREVIATED DECLASSIFICATION DATE, OR THE NOTATION "OADR".</p> <p>3. {U} THE ORIGINATOR'S RECORD COPY WILL INDICATE THE FULL DOWNGRADING/DECLASSIFICATION MARKING AS FOR A DOCUMENT OR LETTER, INCLUDING SOURCES OF DERIVATIVE CLASSIFICATION. THE LAST LINE OF A MESSAGE, HOWEVER, NEED ONLY HAVE THE APPROPRIATE ELEMENTS IDENTIFIED IN PARAGRAPH 2 ABOVE, AS FOLLOWS:</p> <p>06/C/LJUN84 DECL: OADR</p> <p style="text-align: center; font-size: 2em; transform: rotate(-15deg); opacity: 0.5;">SAMPLE</p>							
009P3							
SC/009/MCC/IP							
MR. J. R. FROST, OP-009P3, 4-2230				SECRET SECRET			
MR. A. B. SEAMAN, OP-009P, 4-3235							
DD 1733 1000							

Figure 9-18.—Message.

than NNPI. Do not mark those containing NNPI. Include the following statement in the body of the document to explain the absence of markings:

Those paragraphs which are not marked for classification contain naval nuclear propulsion information (NNPI) which is exempt from the requirement for portion marking set forth in the Department of the Navy Information and Personnel Security Program Regulation.

Place the following downgrading and declassification markings on documents containing classified NNPI that is *not* Restricted Data or Formerly Restricted Data:

Classified by DOE-DOD Classification Guide CG-RN-1 dated January 1977.

Declassify On: Originating Agency's Determination Required. This document shall not be used as a basis for derivative classification.

### Miscellaneous Materials

Treat materials developed in connection with the handling, processing, production and use of classified information in a manner that ensures adequate protection. Such materials include rejected copy, typewriter ribbons, carbons, and similar items. Destroy these materials at the earliest practical time. Omit marks, stamps, or other indications that the recorded information is classified unless needed to ensure its protection.

## PERSONNEL SECURITY CLEARANCES

The basic policy of the Department of the Navy Personnel Security Program designates the Chief of Naval Operations (OP-09N) as the official responsible for managing the security clearance program. The CNO (OP-09N) determines policy for granting access to classified material.

Persons are granted access to classified material only if that access is clearly consistent with the interests of national security. Competent authority may determine a reasonable basis for doubting a military or civilian person's loyalty to the government of the United States. If no doubt is determined, a person's loyalty is assumed to be

consistent with the interests of national security. This assumption applies to the appointment or retention of civilian personnel in government positions and acceptance or retention of military personnel in the Navy and Marine Corps.

## CITIZENSHIP

Only United States citizens are granted access to classified information or assigned to sensitive duties. Sensitive duties are those in which an assigned military member or civilian employee could bring about an adverse effect on the national security. Any duties requiring access to classified information are sensitive duties.

Reference to U.S. citizens in this text includes all U.S. citizens. It includes those who are U.S. citizens by birth, those who are naturalized citizens, and those who are U.S. nationals. Reference to non-U.S. citizens in this text relates to immigrant aliens and foreign nationals. Immigrant aliens are those who have been lawfully admitted to the United States for permanent residence. Foreign nationals are defined, *for security purposes*, as the following:

- Those who are not U.S. citizens, U.S. nationals, or immigrant aliens
- Those immigrant aliens who have failed to become citizens
- Those U.S. citizens or immigrant aliens who represent a foreign government, foreign private interests, or foreign nationals when they are acting in that capacity

With few exceptions, the Navy and Marine Corps will accept only U.S. citizens as officers but will accept immigrant aliens as enlisted. Under a U.S.-Republic of the Philippines agreement, the Navy may enlist nonimmigrant aliens. Enlisted immigrant aliens (and Philippine nonimmigrant aliens) may not enter into ratings or military occupational specialties (MOS) that generally require access to classified information. They are allowed access to classified information or assigned to sensitive duties only when specifically authorized by OP-09N. The Navy and Marine Corps considers all other foreign nationals to be foreign representatives. They are governed by the foreign disclosure policies and procedures in OPNAVINST 5510.48J and OPNAVINST 55510.155C.

## VERIFICATION OF CITIZENSHIP

Citizenship status affects the requirements involved in a security clearance investigation. Consider the clearance eligibility and the access a person will be granted before you start that person's security processing. Personnel are required to submit evidence of citizenship to receive a security clearance. However, to retain a clearance at their present level, personnel who hold a current, valid clearance issued by the Navy or Marine Corps are exempt from this requirement. Verification is required for first-time clearance candidates and candidates for clearance at a higher level than currently held if citizenship was not verified previously.

Navy and Marine Corps officers must submit proof of citizenship before their commissioning. Unless a person's record specifically notes that he or she is not a U.S. citizen, you may assume that an officer is a U.S. citizen. Enlistees must submit documentation verifying their citizenship status during enlistment processing.

Civilians must provide documentation proving the citizenship claimed on their application during the hiring process. Never assume a former officer is a U.S. citizen. The former officer must provide evidence of citizenship if the personnel record is unavailable.

The following conditions may satisfy the requirement for a service member to verify U.S. citizenship for a clearance at a higher level than currently held:

1. The person has a valid background investigation (BI) or special background investigation (SBI) completed before 1 September 1979, provided U.S. citizenship was claimed at that time.

2. The person is an officer in the Navy or Marine Corps, although the record does not contain evidence of noncitizenship.

3. An enlisted member's service record contains a DD Form 1666 (Application for Enlistment—Armed Forces of the United States) with a certification that the documents verifying citizenship have been sighted; or for Navy members, a NAVPERS 1070/601 (Immediate Reenlistment Contract) reflecting that the documentation has been sighted and the person is a U.S. citizen.

The following documentation is required to prove U.S. citizenship; it is generally the same as that required for U.S. passport purposes:

1. If the person was born in the United States, a birth certificate is required. A certificate in the form officially issued and certified by the state or county agency is acceptable if it shows the birth record was filed shortly after birth and it bears the signature of the registrar.

- a. A delayed birth certificate (a record filed more than 1 year after the date of birth) is acceptable.

- b. Verification of birth (DD Form 372) is acceptable for military members if the birth data listed is verified by the registrar.

- c. A hospital birth certificate is acceptable if all of the vital information is given and it has an authenticating seal or signature. The hospital must be fully recognized and credentialed by a recognized authority.

- d. If primary evidence cannot be obtained, a notice from the registrar that no birth record exists should be submitted. The registrar's notice must be accompanied by the best combination of secondary evidence obtainable. Secondary evidence includes a baptismal certificate; a certificate of circumcision; affidavits of persons having personal knowledge of the facts of the birth; or other documents, such as an early census, school or family bible records, newspaper files, and insurance papers. The secondary evidence should have been created as close to the time of birth as possible.

- e. All documents submitted as evidence of birth in the United States must be original or certified copies. Uncertified copies are not acceptable.

2. If citizenship was acquired by birth abroad to a U.S. citizen parent, one of the following is acceptable:

- a. Certificate of Citizenship issued by the Immigration and Naturalization Service

- b. A Report of Birth Abroad of a Citizen of the United States of America (Form FS-240)

- c. A Certification of Birth (Form FS-545 or DS-1350) issued by a U.S. Consulate or the Department of State

For personnel born in the Canal Zone, a certificate of birth issued by the Canal Zone government indicating U.S. citizenship and

verified with the Canal Zone Commission is acceptable.

3. If the person claims U.S. citizenship by naturalization, a Certificate of Naturalization is required. A Certificate of Citizenship is required if the person claims to have derived U.S. citizenship through the naturalization of the parent(s). If the person does not have a Certificate of Citizenship, the Certificate of Naturalization of the parent(s) may be accepted if the naturalization occurred before the age of 18 (or before the age of 16 before 5 October 1978) and the person was a permanent U.S. resident. Certificates presented must be originals; making copies is illegal.

4. A U.S. passport issued to the person or one in which the person was included (that is, a child and parent on a passport photograph) is acceptable.

## **PERSONNEL SECURITY INVESTIGATIONS**

Persons are given access to classified information or assigned to sensitive duties only if their loyalty, reliability, trustworthiness, and judgment is determined. The initial determination is based on a personnel security investigation (PSI) appropriate to the access required or to other factors involving the sensitivity of the duties assigned.

Although commanding officers may request PSIs on personnel under their jurisdiction, they may request only the minimum investigation to satisfy a requirement.

The Defense Investigative Service (DIS) or, where specified, the Office of Personnel Management (OPM) conducts or controls all PSIs for the Department of the Navy. You are prohibited from conducting PSIs, including local public agency inquiries, without a specific request from DIS.

Keep PSI requests to the absolute minimum. Do not use them as a means of identifying problem personnel security cases.

### **Types of Personnel Security Investigations**

A personnel security investigation (PSI) is an inquiry by an investigative agency into a person's activities conducted for the purpose of making a personnel security determination. Investigations conducted for other purposes may affect a person's employment, clearance, or assignment,

but are not PSIs. Examples are investigations of compromise, criminal activity, sabotage, espionage, or subversion.

Because the Navy uses various levels of information, it must have a system of protecting all types of information that could jeopardize our national security. Some materials could have a more devastating effect on our nation than others. For that reason, the Navy conducts personnel security investigations before granting a security clearance to persons who handle sensitive information. These investigations fall into one of the seven categories described in the following paragraphs.

**NATIONAL AGENCY CHECK.**—A national agency check (NAC) is a check of federal agency files on persons who apply for employment by federal agencies. The check, conducted by DIS, includes a check of the Defense Central Index of Investigations (DCII) and a check of FBI files. An NAC includes a check on other agencies when the information on the applicant's investigative forms indicates a need for one. The NAC conducted on a first-term enlistee in the Navy or Marine Corps is called an entrance NAC (ENTNAC). The primary reason for an ENTNAC is to determine a person's suitability for entry into the service. It is requested only at the time of *initial* entry, not at reenlistment or at a later date. An NAC is also required for each person accepting a commission in the naval service or a Reserve component commissioned officer status. The NAC is an integral part of each background investigation (BI), special BI (SBI), or periodic reinvestigation (PR). When an NAC discloses information that DIS must investigate further to resolve, the result is called an expanded NAC (ENAC).

**NATIONAL AGENCY CHECK AND INQUIRY.**—A national agency check and inquiry (NACI) is a check of the files of civilian applicants for employment by federal agencies (an NAC), which includes written inquiries about the applicants. The Office of Personnel Management (OPM) conducts this check. It sends inquiries, covering the person's last 5 years before application, to law enforcement agencies, former employers, supervisors, references, and schools.

**DOD NATIONAL AGENCY CHECK PLUS WRITTEN INQUIRIES.**—A DOD national agency check plus written inquiries (DNACI), conducted by DIS, consists of an NAC, credit

bureau checks, and written inquiries to current and former employers covering a 5-year period.

**BACKGROUND INVESTIGATION.**—DIS conducts a background investigation (BI) to gather information on a person's loyalty, character, emotional stability, and reliability. It consists of an NAC plus a field investigation consisting of an interview and a written inquiry. Standard BI elements include checks of employment; education; organization affiliations; local agencies; where the subject has lived, worked, or gone to school; and interviews with persons who know the individual. Depending on the information disclosed, the BI may also include credit and neighborhood checks and an interview of the subject to resolve any questionable or derogatory information. The scope of a BI usually covers a period that extends back 5 years or begins at the 18th birthday, whichever is the shorter period; however, at least the last 2 years are covered, with the exception that no investigation is conducted before a person's 16th birthday. No time limit is set for the resolution of questionable or derogatory information. The scope of a BI for persons assigned to NATO billets and for non-U.S. citizens is 10 years (with the restriction on investigation before the 16th birthday). A full field investigation (FFI) conducted by the FBI or OPM is the equivalent of a BI.

**SPECIAL BACKGROUND INVESTIGATION.**—A special background investigation (SBI), conducted by DIS, extends coverage of the person's background to provide a greater depth of knowledge than a standard BI. An SBI includes an NAC on the member's spouse or cohabitant. It also includes an NAC on any immediate family members 18 years of age or older who are U.S. citizens other than by birth or who are not U.S. citizens. The scope of an SBI covers a period that extends back 15 years or begins at the 18th birthday, whichever is the shorter period; however, at least the last 2 years are covered, with the exception that no investigation is conducted before the person's 16 birthday. At the present time, CNO authorizes SBIs only on personnel who have access to certain information or who are assigned to certain duties. The following assignments presently require an SBI:

Assignments requiring access to single integrated operational plan—extremely sensitive information (SIOP—ESI)

Assignments requiring access to sensitive compartmented information (SCI)

Assignment to Presidential support duties

Assignment to investigative agencies as special agents or investigative support personnel requiring continuous access to investigate files and materials

**PERIODIC REINVESTIGATION.**—A periodic reinvestigation (PR) updates a valid investigation conducted by DIS. It consists of a personal interview, an NAC, local checks, credit checks, and interviews with employment references and character references. A periodic reinvestigation also includes a command review of all available records when warranted by the facts of the case.

**SPECIAL INVESTIGATIVE INQUIRY.**—A special investigative inquiry (SII), conducted by DIS, has two purposes. The first purpose is to prove or disprove allegations about a person on whom a personnel security determination has been made. The second is to assess the current eligibility of an individual on whom an unfavorable personnel security determination had previously been made. An SII consists of a limited inquiry, a post-judicatory investigation, or some other type of DIS inquiry. SIIs do not investigate current criminal activity, sabotage, espionage, or subversion. The Naval Security and Investigative Command investigates those matters

Since SIIs supplement the basic PSI, they are not entered as investigations on the Certificate of Personnel Security Investigation Clearance and Access (OPNAV Form 5520/20)

### **The Nuclear Weapons Personnel Reliability Program**

Investigative requirements for the Nuclear Weapons Personnel Reliability Program (PRP) are based on the sensitivity of the position occupied. The position may or may not reflect the classification level of information to which the person may have access. Positions in the PRP are designated as Critical or Controlled.

A Critical position in the PRP requires a BI within the past 5 years before initial assignment. Continued assignment to a PRP position is allowed without an update of the investigation.

A Controlled position in the PRP requires an NACI or DNACI investigation within the past 5 years before assignment. Continued assignment to a Controlled position is also allowed with an update of the investigation.

Initial assignment in the program is interpreted as the first time a person is screened and qualified for the program, regardless of the position occupied. Subsequent assignments in the PRP require a reinvestigation under the following conditions:

1. When the person has been out of the program more than 5 years
2. When the requirements for the PRP position currently being considered have not been satisfied by an investigation within the last 5 years

When military personnel have a break in active duty of more than 1 year, investigations completed before the break become invalid for assignments to the PRP. However, they may be used to determine if a person is eligible for a clearance. Included are persons who transfer from active duty into the Reserves for over a year and then return to active duty. An investigation completed in the previous tour of active duty is also invalid for PRP assignments.

## **ACCESS TO CLASSIFIED MATERIAL**

The Department of Defense uses the simple principle of circulation control to maintain security of classified information. Circulation control means that knowledge or possession of classified information is permitted only by persons requiring access in the interest of national security. Only personnel who are eligible are granted access.

No one is granted access to classified information solely because of rank, position, or a security clearance. The person authorized to have possession, knowledge, or control of classified information has the final responsibility for deciding whether a person requires access to that information.

The preceding security precautions also apply to access by another federal agency, a defense contractor, a foreign government, or an organization such as a command.

## **GRANTING ACCESS**

Commanding officers have the authority to grant access to classified information and are responsible for the security of the information or materials in their command. They may grant access to classified information to persons who have an official need to know or a valid security clearance. They may also grant access if local disqualifying information is unavailable about a person.

The commanding officer should take the following steps in granting access to a member of a command:

1. Determine the level of access necessary for the person to perform his or her official duties (need to know).
2. Check the person's official personnel record and determine if he or she has, or is eligible for, the proper clearance.
3. Review the available command records and reports for possible disqualifying information.
4. Grant the access and record it if the person has the proper clearance and disqualifying information is unavailable.

Since granting access is a command responsibility, access is terminated automatically when the person transfers from the command, is discharged, or is separated from federal service. It is also terminated when a security clearance is withdrawn, denied, or revoked for any reason.

When questionable or unfavorable information becomes available on a person who has been granted access, commanding officers may decide to restrict or suspend access. They may use a restriction or suspension of access *for cause* only as a temporary measure until the person's eligibility for access is resolved.

## **LIMITED ACCESS AUTHORIZATION**

Commanding officers may sometimes grant access to classified information to a person who is ineligible. The person may be someone outside the executive branch of the government or someone who is otherwise ineligible for a security clearance. Commanding officers may grant such access only in the interest of national security. Those commanding officers who decide to grant access to such a person should submit a request to CNO (OP-09N) for a limited access authorization (LAA). The CNO (OP-09N) will accept LAA

requests only from active-duty commanding officers. When OP-09N grants an LAA, commanding officers then assume responsibility for briefing the person. They also have the responsibility of limiting the person's access to that information authorized and debriefing the person at the end of the access period.

The CNO (OP-09N) will authorize access only for the specific purpose and the specific classified information stated in the request. In the case of non-U.S. citizens, the information requires release from the country of origin. The authorization will be effective for the period of time necessary, subject to reinvestigation every 5 years. Physical custody of classified material is normally refused. Unlike a security clearance or a command-granted access, an LAA is not entered on the Certificate of Personnel Security Investigation, Clearance, and Access.

### **ACCESS BY RESERVE PERSONNEL**

Reserve personnel who have an appropriate clearance may be granted access to classified information for active-duty training or inactive-duty training. The clearing authority or the authority with the information to be disclosed determines the need for access. Access granted for inactive-duty training should be recorded on the Certificate of Personnel Security Investigation, Clearance, and Access.

Inactive Reserve personnel are ineligible for access to classified information unless they are specifically authorized by OP-09N under limited clearance procedures.

Reserve personnel are granted access to training editions of the following documents as required to maintain proficiency in their specialties:

- Codes
- Cipher systems
- Authentication systems
- Call-sign encryption systems
- Operation instructions
- Maintenance manuals

They are also granted access to COMSEC publications listed as study materials for advancement in rate. Additionally, selected units are authorized access to operational COMSEC materials. Properly cleared inactive-duty personnel taking part in unit drills with these selected units are given access to COMSEC materials as required in the performance of their duties.

### **ACCESS BY RETIRED PERSONNEL**

Retired personnel, including those on the temporary disability retired list, are not entitled to access to classified information because of their present or former status. Commanding officers grant retired personnel access to classified information only when it will promote national security. Commanding officers may submit a request for access authorization to OP-09N.

### **RECORDING ACCESS**

Record access granted by a command, preferably on the Certificate of Personnel Security Investigation, Clearance, and Access, OPNAV Form 5520/20. The commanding officer or his or her designated representative must sign all access entries.

The commanding officer makes certain the Comments section of OPNAV Form 5520/20 contains any access restrictions that apply to personnel.

### **ADP SECURITY**

Automated data processing (ADP) security is a Navywide responsibility. It includes security aspects that contribute to the protection of the total ADP activity, office information system, or network. It involves the following elements:

- Physical security, administrative procedures, operating procedures, and personnel
- Communications and emanations
- Hardware, software, and data

The level of data processed by an ADP activity or network and the cost of carrying out an ADP security program require careful management of ADP security. All Department of the Navy (DON) activities must regularly review and continuously monitor their ADP security program.

The ADP security program will protect ADP activities, office information systems, and networks and the data they process as outlined in appropriate directives.

Refer to the *ADP Security Manual*, OPNAVINST 5239.1A, for a thorough description of ADP security policies and procedures.

## SUMMARY

As you advance in rate to chief petty officer, your responsibility to your subordinates and to your country increases. By the time you have attained the rate of petty officer first class or chief petty officer, the Navy realizes you have matured and can accept more responsibility. That is apparent when your division officer or department head shares schedule changes or other sensitive information with you so that you can adjust your divisional work schedule.

This chapter is only an introduction to the security requirements you are responsible for enforcing. You will find specific security requirements in the *Department of the Navy Information and Personnel Security Program Regulation*, OPNAVINST 5510.1H.

You, the experienced first class or the seasoned chief, will teach your junior personnel the details of the security program. Therefore, you need to know the Navy's basic security requirements and be aware of those actions considered as security violations. Your life and the lives of your shipmates may depend on information that could fall into the hands of a hostile country. Report any counterintelligence matters to a Naval Investigative Service office.

You will be responsible for marking proper security classifications on classified correspondence. Many of these markings are also used in the marking of classified publications. You need to understand the different personnel clearances and the required investigations for each. Remember that the necessity for access to

classified information rests not with the person needing it, but with the person holding the material. You must consider the best interests of both the nation and the Navy in making intelligent decisions regarding access to classified material.

Remember, that stranger who is inquisitive about your work during a friendly conversation could be an enemy agent. Be careful to avoid discussions from which anyone could gather information that could risk our national security. A conversation of this type could be your last if you unknowingly divulge classified information to an enemy agent.

## REFERENCES

*ADP Security Manual*, OPNAVINST 5239.1A, Office of the Chief of Naval Operations, Washington, D.C., 1982.

*Department of the Navy Information and Personnel Security Program Regulation*, OPNAVINST 5510.1H, Office of the Chief of Naval Operations, Washington, D.C., 1984.

*Standard Organization and Regulations of the Navy*, OPNAVINST 3120.32B, Chief of Naval Operations, Washington, D.C., 1986.

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